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SEAGATE TECHNOLOGY LLC

12 UNITED STATES DISTRICT COURT

13 NORTHERN DISTRICT OF CALIFORNIA, SAN FRANCISCO DIVISION

15 IN RE SEAGATE TECHNOLOGY LLC  
LITIGATION

17 CONSOLIDATED ACTION

Case No. 3:16-cv-00523-JCS

**DECLARATION OF DONALD ADAMS,  
PE IN SUPPORT OF SEAGATE'S  
OPPOSITION TO PLAINTIFFS'  
MOTION FOR CLASS CERTIFICATION**

**Date:** March 30, 2018  
**Time:** 9:30 a.m.  
**Place:** Courtroom G  
**Judge:** Hon. Joseph C. Spero

Second Consolidated Amended Complaint  
filed: July 11, 2016

24 **REDACTED VERSION OF DOCUMENT SOUGHT TO BE SEALED**

## Table of Contents

I.	Summary of Relevant Experience.....	1
II.	Hard Drives and Products at Issue .....	2
III.	Summary of Opinions .....	4
A.	Hospodor fails to support his claims that the ST3000DM001 drives had a “higher than advertised” AFR. ....	4
B.	Hospodor’s claims that Seagate’s testing underestimated the “true” AFR of the drives is based on misinterpretation of Seagate’s documents and misapplication of principles of failure analysis.....	6
C.	Hospodor fails to support any conclusion that Seagate's internal, desktop ST3000DM001 products had an AFR above 1% across the class period and across different versions of the ST3000DM001 (Grenada Classic, Grenada BP and Grenada BP2), or that the drives had any problem common throughout the class period (2011-2016), or common to the products and drive versions at issue. ....	8
D.	Hospodor fails to support the claim that Seagate’s reliability testing and quality control process were flawed. ....	10
E.	Hospodor does not justify the claim that the ST3000DM001 drives (Grenada Classic, BP and BP2) were released for production before the design and manufacturing process were properly qualified to meet product and business goals, and unreasonably concludes the ST3000DM001 was inherently ‘unstable’ and ‘unreliable’. ....	10
F.	Hospodor’s opinions are not based on sufficient data and are not the product of accepted principles of reliability analysis correctly applied to Seagate data. ....	12
IV.	Reliability Testing, AFR, and Seagate’s Drive Development Process .....	12
A.	Data from Reliability Testing Is Used to Estimate the Weibull Distribution Parameters and Calculate Projected AFR (and MTBF) .....	12
B.	Seagate Always Estimated the Weibull Parameters and Calculated the Projected AFR for the Grenada Drives from Actual Test Data – It Did Not “Assume” Beta .....	15
C.	Hospodor Makes Several Misstatements about AFR and MTBF in His Sections IV.C.1 and IV.C.2.....	17
D.	Seagate’s Usage Estimates Were Reasonable .....	18
E.	Seagate’s Drive Development and Manufacturing Process Was Appropriate and Consistent with Industry Standards – Including Release of Drives to SBS before Release to Disty .....	20
V.	Hospodor’s Claims about the “Advertised” AFR of the Drives Are Not Supported (Hospodor’s Section IV.E).....	22

1	VI.	Hospodor Fails to Support His Claims that the ST3000DM001 Drives Had a “Higher than Advertised” AFR .....	23
2			
3	A.	The Majority of Hospodor’s Analysis Relates to SBS Products .....	23
4	B.	Hospodor’s Claims Regarding Grenada Drives Used in Internal (Disty) Products Are Not Supported by the Document He Cites .....	25
5	C.	Only Two Documents Contain AFRs above 1% for Internal (Disty) Drives, but the Drives at Issue Did Not Reach Consumers .....	27
6	VII.	Hospodor’s Opinion that “Seagate’s Reliability Testing Underestimated the True AFR of the Drive” Is Not Based on Sufficient Evidence nor Accepted Principles of Reliability Analysis .....	28
7			
8	A.	Seagate Did Not ‘Assume,’ ‘Select’ or Use a Pre-Selected Beta Value of <1 .....	28
9	B.	Hospodor’s Opinion Makes No Sense .....	29
10	C.	Hospodor’s Three Pieces of Evidence Do Not Support His Opinion .....	29
11			
12	1.	The Sequence of “Increasing” AFRs .....	29
13	2.	Hospodor’s Reliance on Khurshudov Is Misplaced .....	31
14	3.	The Grenada BP2 Test Results .....	35
15	D.	The Backblaze Blog Posts Do Not Support Hospodor’s Conclusions .....	36
16	VIII.	Hospodor’s Remaining Sections and Evidence Do Not Support Any Claims about the AFR of the Drives or Hospodor’s Claim that the Drives Were Released Prematurely or Were ‘Unstable’ and ‘Unreliable’ (Hospodor’s Section IV.I) .....	37
17			
18	A.	Yield Information (Hospodor’s Section IV.I.1) .....	38
19	B.	Engineering Change Requests (ECRs) Are Not Evidence of AFR or that the Drives Were Unstable or Shipped Prematurely” .....	40
20	C.	Hospodor’s Discussion of Firmware Revisions Does Not Support His Claims (Hospodor’s Section IV.I.2(c)) .....	44
21			
22	D.	Hospodor’s Discussion of Ship Holds Does Not Support His Opinion (Hospodor Section IV.I.2(d) and IV.I.d(e)) .....	46
23	E.	Hospodor Does Not Support His Claim that Seagate Documents “Acknowledge” that the Drives Were “Unstable, Unreliable, and Defective” ” (Hospodor’s Section IV.I.2(f).) .....	47
24			
25	F.	A Few Changed Specifications for the Drives Do Not Support Hospodor’s Claim that the Drives Were “Unreliable” (Hospodor’s Section IV.J) .....	47
26			
27	IX.	Hospdor Does not Identify Any Defect or Other Issue Common to the Different Drive Versions, Products, or Across the Class Period .....	50
28	X.	Supplementation of Opinions .....	53

DECLARATION OF DONALD ADAMS, PE

1. I have been retained as an expert by Defendant Seagate Technology, LLC (“Seagate”) to provide an analysis and rebuttal of the Declaration of Andrew Hospodor (“Hodpodor”) that Plaintiffs submitted in support of their Motion for Class Certification.

2. Specifically, I was asked to evaluate:

- (a) whether the evidence Hospodor cites support his opinions in his Declaration;
- (b) whether Hospodor presented evidence that Seagate's internal, desktop ST3000DM001 products had an AFR above 1% across the class period (2011-2016) and across the different versions of the ST3000DM001 (Grenada Classic, Grenada BP and Grenada BP2);
- (c) whether Hospodor’s opinions are based on sufficient data and are the product of accepted principles of reliability analysis correctly applied to the information and data he cites.

**I. Summary of Relevant Experience**

3. My experience is primarily in the design and development of HDDs since the early 1980’s. I started as an electrical engineer designing magnetic recording data channels while completing my studies in communications systems at Santa Clara University. A significant part of my formal training was in Probability Theory. By the 1990’s I was increasingly responsible for the complete design of HDD products at Maxtor, SyQuest, Quantum and then Maxtor again as a Project Engineer/Manager and Engineering Director. By the early 2000’s I had been the responsible engineer for more than five HDD products from early design, to development and qualification, through transfer to high volume manufacturing. I have contributed to the design of more than ten HDD and related products that have gone into high volume production. At various times throughout my career I have conducted or supervised reliability testing and analysis on hard drives.

4. During this time I also worked on product/technology development and planning. This work led to integration of important technologies to advance areal density, reduce operational costs, and/or develop new applications for HDDs. Of note is the joint development of the Digital Video Recorder with TiVo and other related consumer media products at Quantum. I also led numerous special task forces to resolve critical factory and customer problems for yield and/or reliability which resulted in new design and development processes.

1           5.       Both Dr. Hospodor and I worked at Quantum in the late 1990s and early 2000s where  
2 I was responsible for several HDD products through product qualifications and transfer to  
3 manufacturing. This included reliability testing and analysis. To my knowledge, Dr. Hospodor was  
4 only peripherally involved in this type of work at Quantum.

5           6.       More recently I have continued to work or consult as a senior engineering manager  
6 and electrical engineer. After leaving Maxtor I led the engineering team at Nanochip in a joint  
7 technology development with Intel for probe storage based on MEMS technology and Atomic Force  
8 Microscopy. Since 2009 I have focused mainly on my consulting practice with a four year stint at  
9 Western Digital from 2011 through 2015. During this time, I was involved in defining the  
10 architecture and design of hybrid HDD electronics. This included qualification testing (reliability  
11 testing and analysis) of the first products. I also worked on special problems in signal/power  
12 integrity and Electromagnetic Compatibility.

13           7.       I hold a Master of Science degree in Electrical Engineering (MSEE) from Santa Clara  
14 University and a Bachelor of Science degree in Electrical Engineering (BSEE) from San Jose State  
15 University. I am also a registered Professional Electrical Engineer in California, # E-19198, and  
16 continue to practice in the field.

17           8.       My curriculum vitae is attached as Appendix 1 hereto. The materials I reviewed in  
18 preparing this declaration are listed in Appendix 2.

19           9.       I am presently being compensated for my work in this matter at my current billing  
20 rate of \$350 per hour. My compensation is not dependent on the opinions that I provide or the  
21 outcome of this litigation.

## 22   **II.     Hard Drives and Products at Issue**

23           10.      In 2011, Seagate began manufacturing a computer hard disk drive (“HDD”) bearing  
24 model number ST3000DM001. HDD technology was first developed by IBM in the 1950s to  
25 provide high performance mass data storage for computer systems of that era. It is based on  
26 magnetic recording of bits of data in a layer of material on rotating disks (or “platters”) by means of  
27 a read-write head that flies over the surface of the disks to access the data. Both the size and  
28 capacity of HDDs have evolved since then to provide tremendous capability that enabled

1 widespread personal computing and big-data applications today.

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1           13. It is my understanding that Plaintiffs define the relevant period (the “class period”) as  
2 from the earliest release of the ST3000DM001 drives to February 1, 2016. (Hospodor Decl.,  
3 footnote 1.) Since the first version of the ST3000DM001 drives was first approved for release as an  
4 external, USB product in April, 2011 (Ex. 1 [FED\_SEAG0026697]), I assume the proposed class  
5 period to be April, 2011 – February, 2016.

6           14. Unless otherwise noted, Exhibits referred to in this declaration are Exhibits to the  
7 Declaration of Liên Payne filed concurrently herewith.

8 **III. Summary of Opinions**



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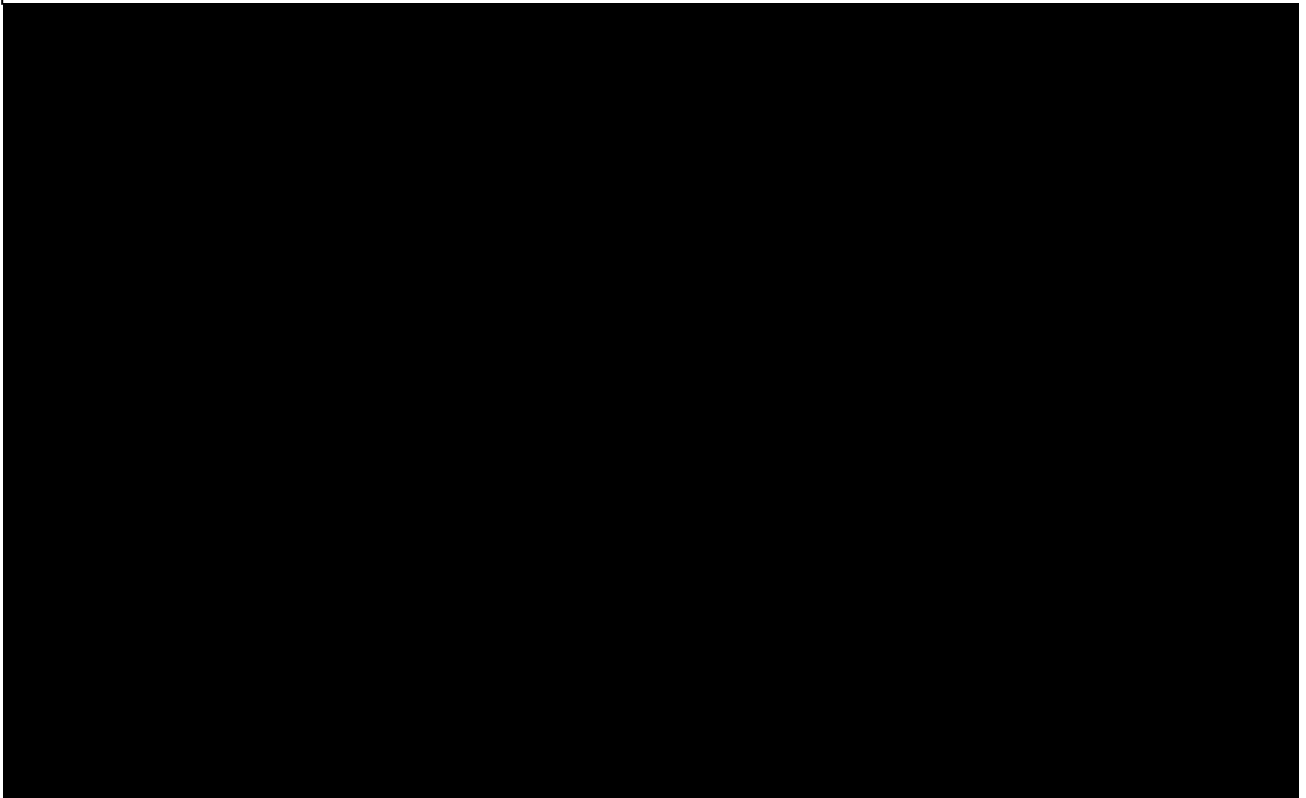
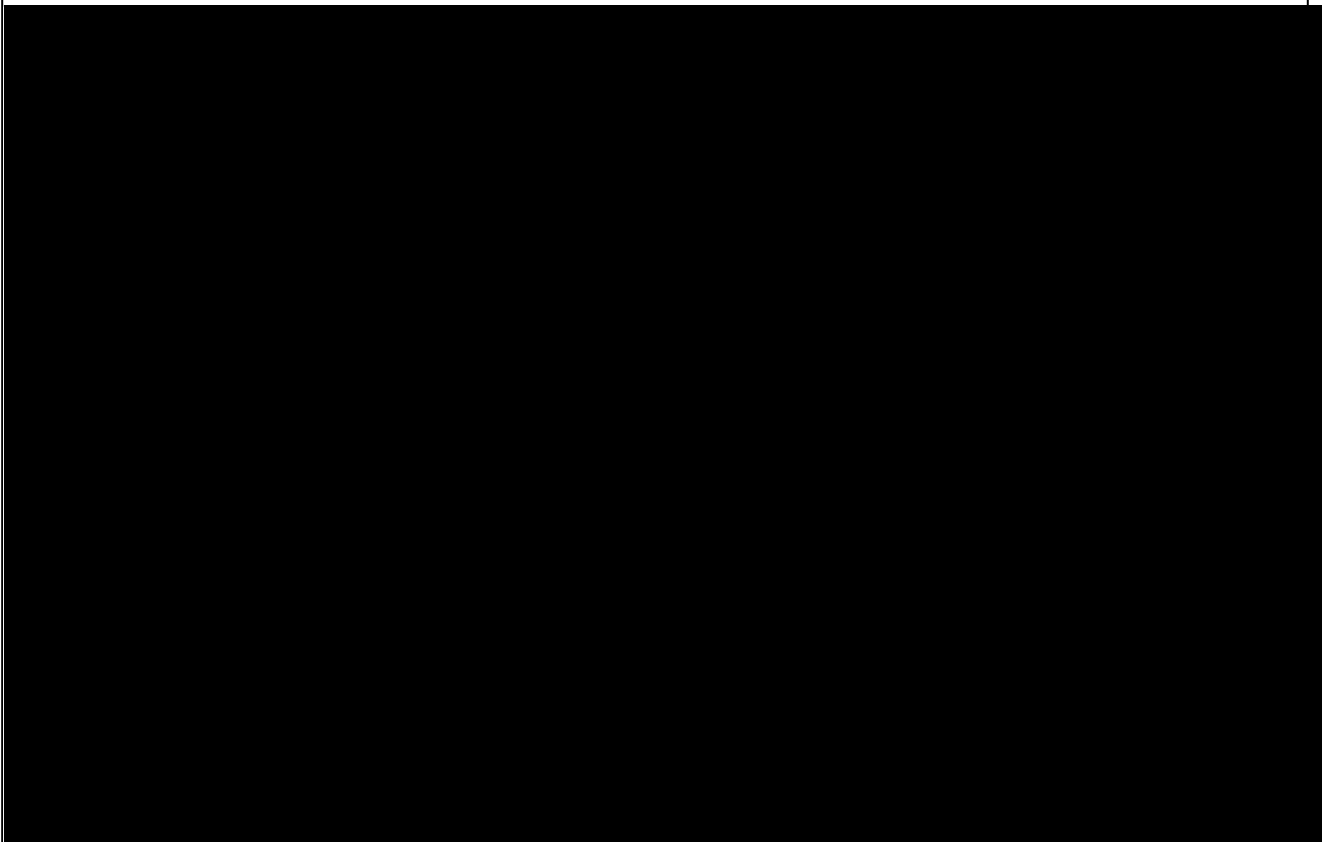
<sup>4</sup> As noted, exhibits referred to in this declaration are Exhibits to the Declaration of Lien Payne, filed herewith.

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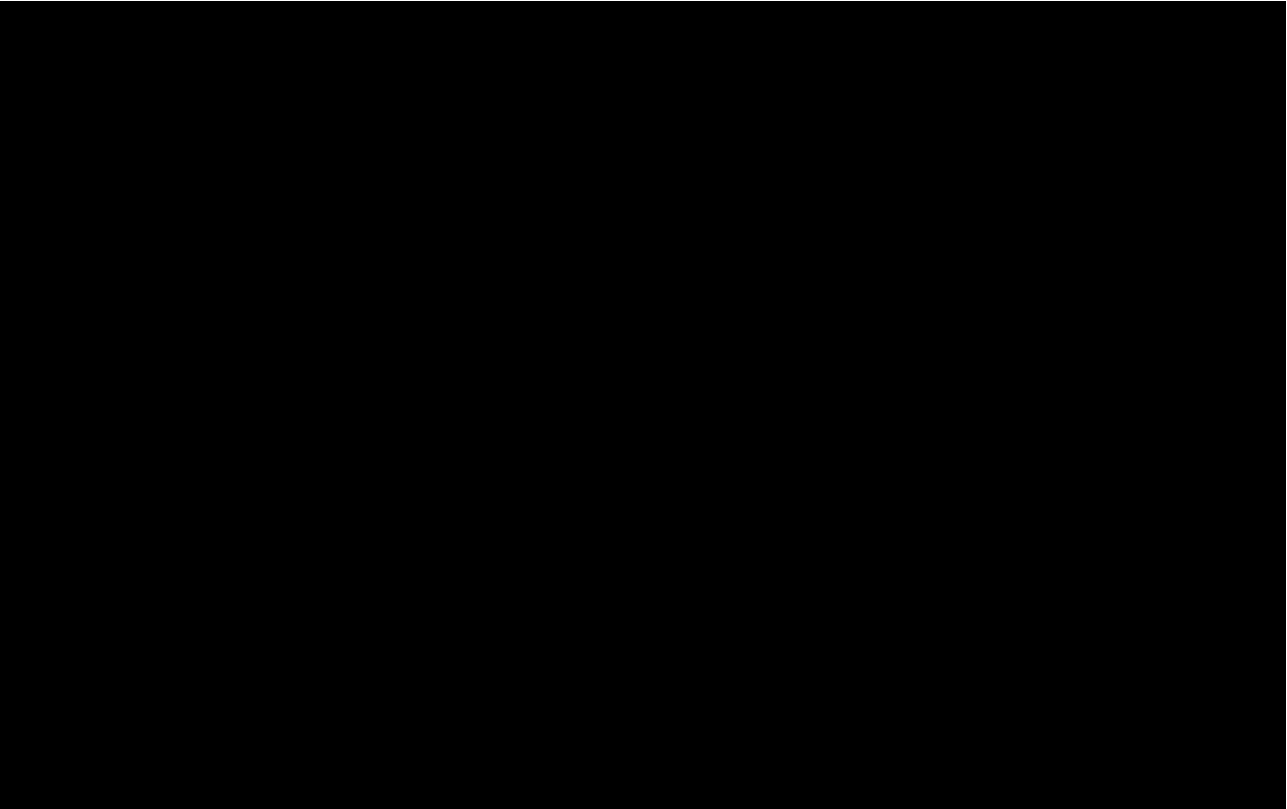
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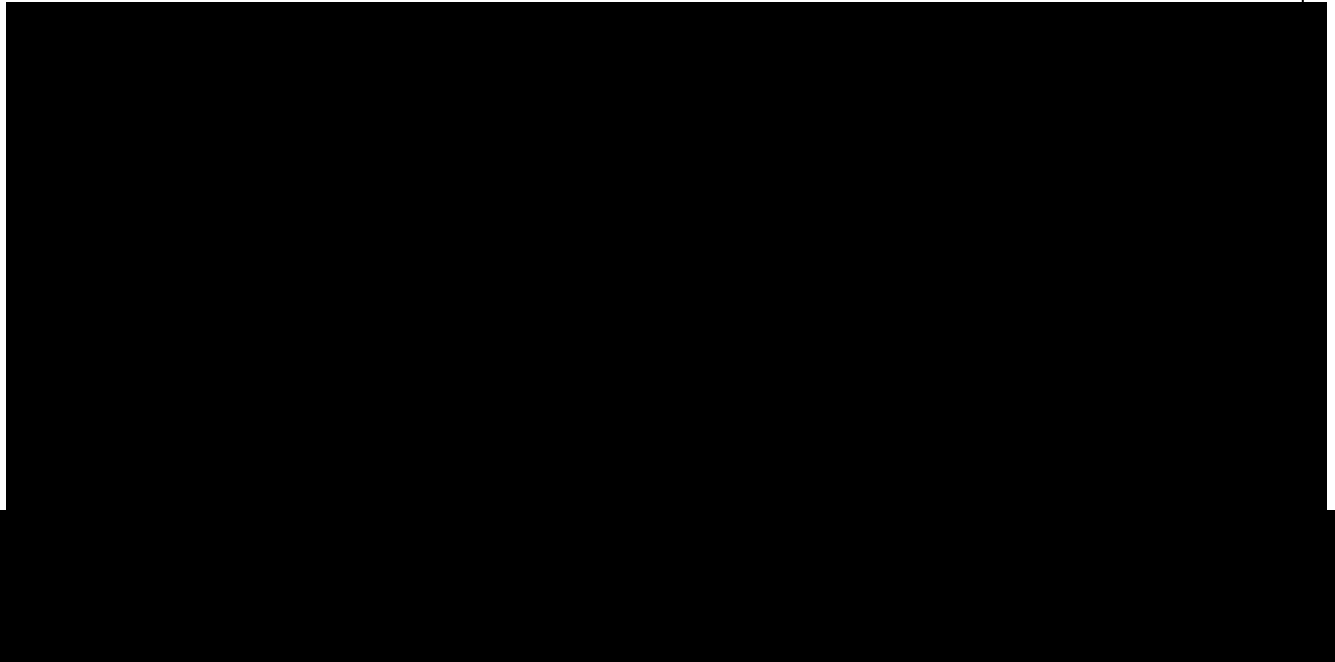
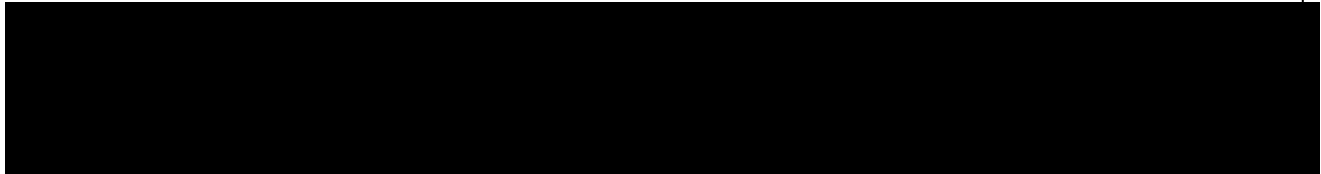
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**Figure 1**



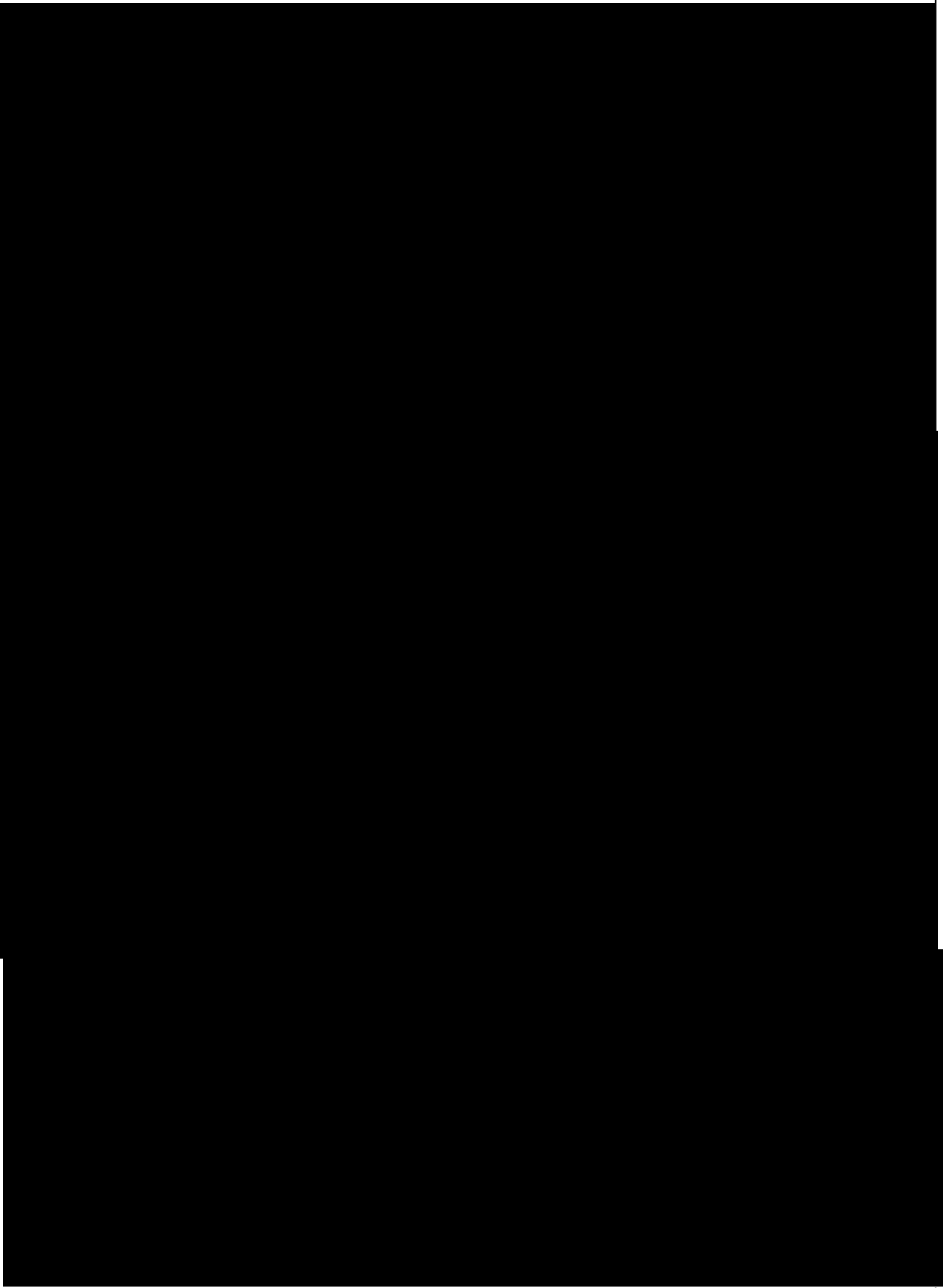
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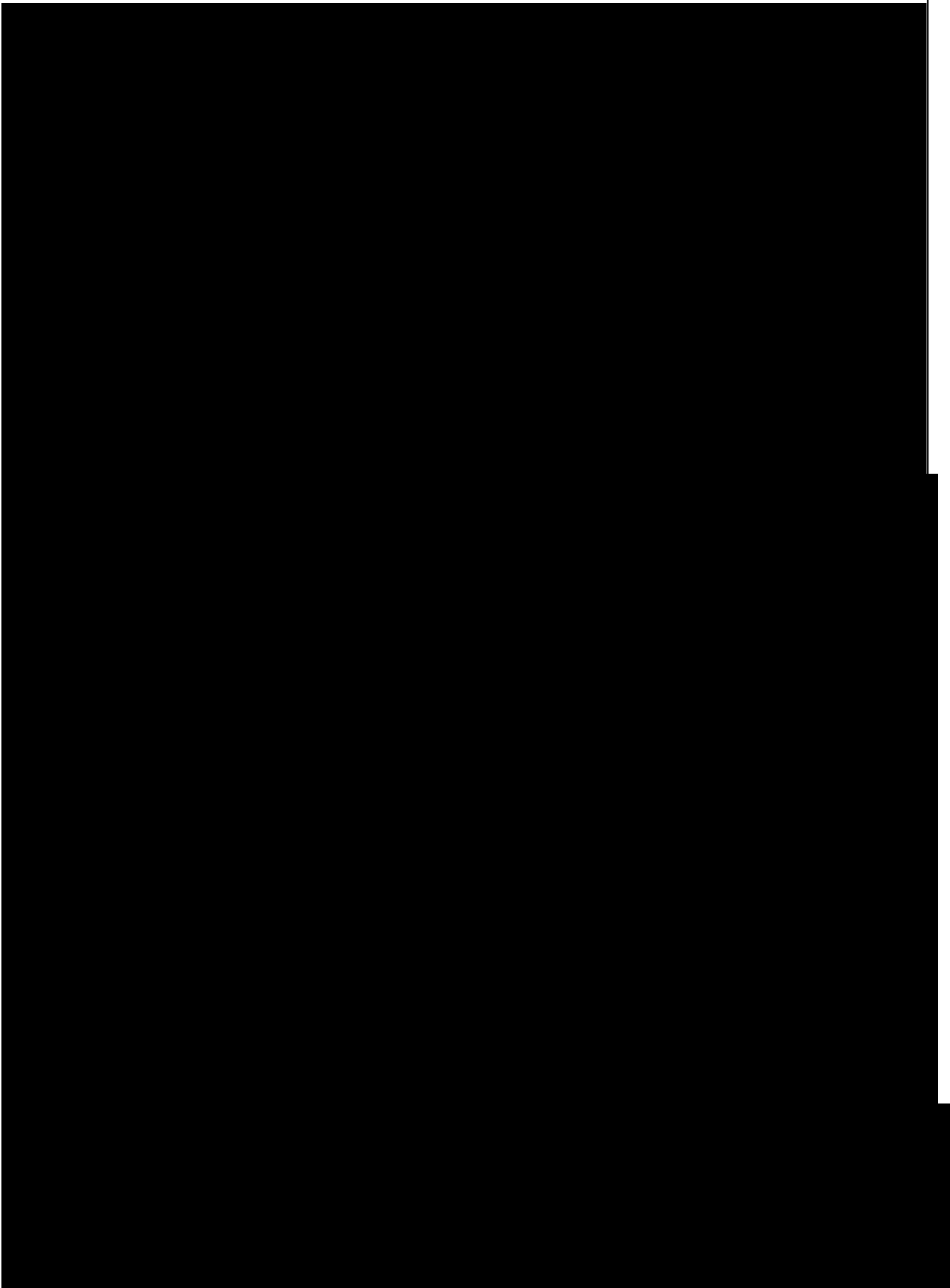
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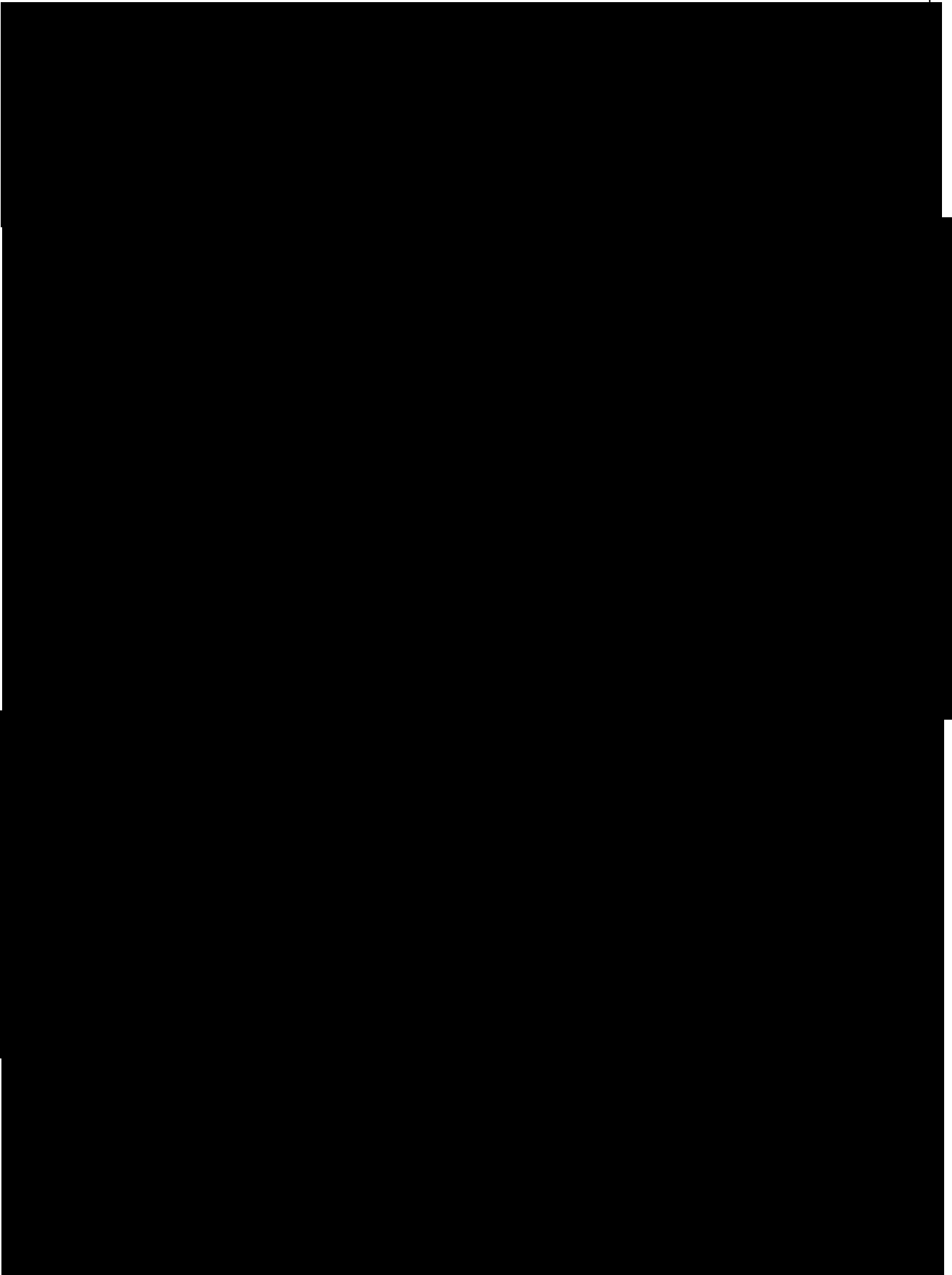
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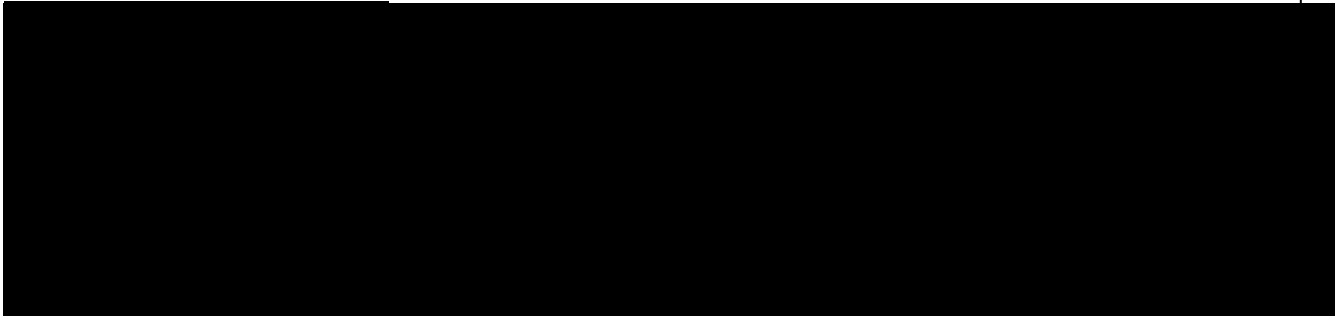
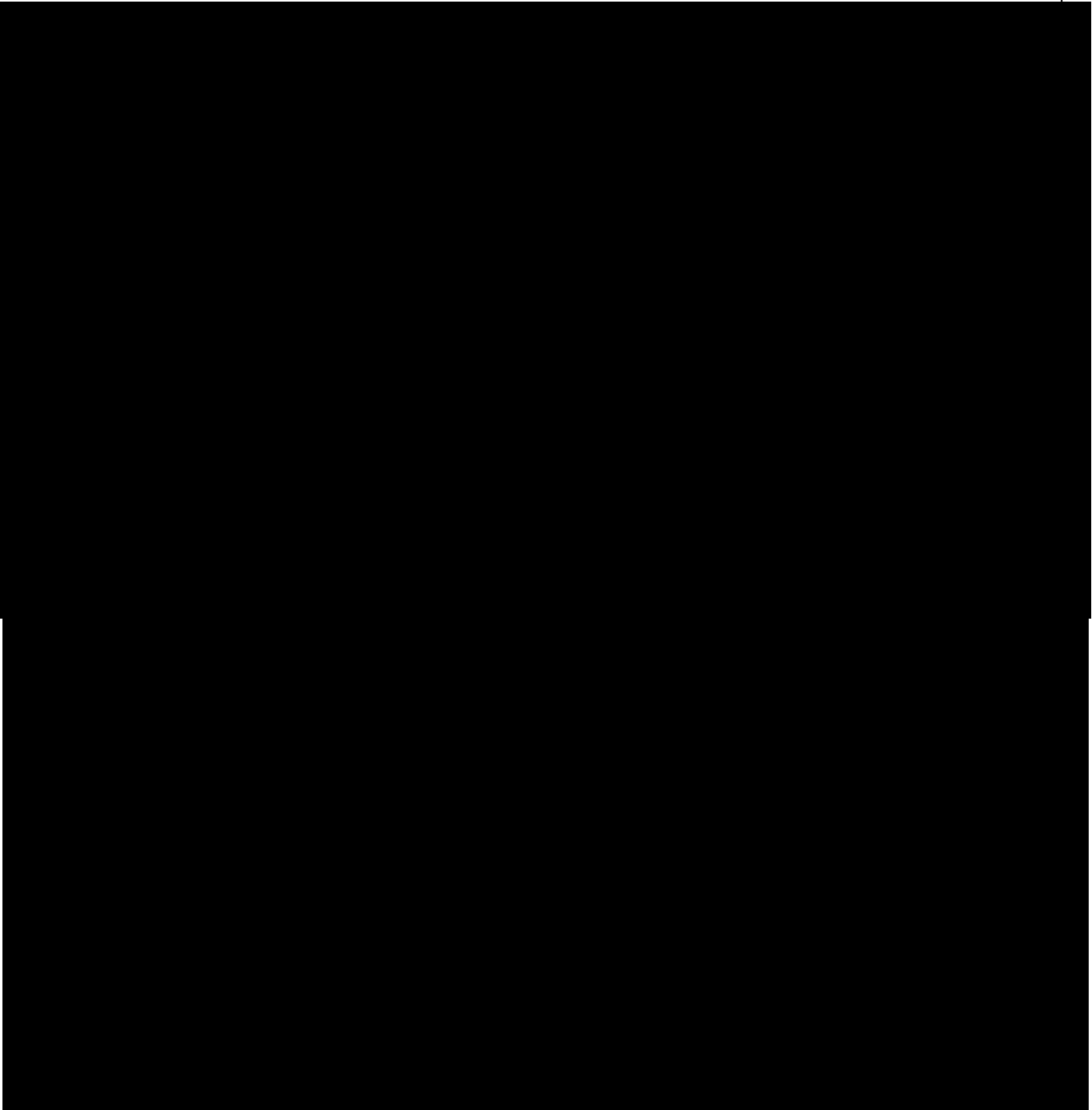
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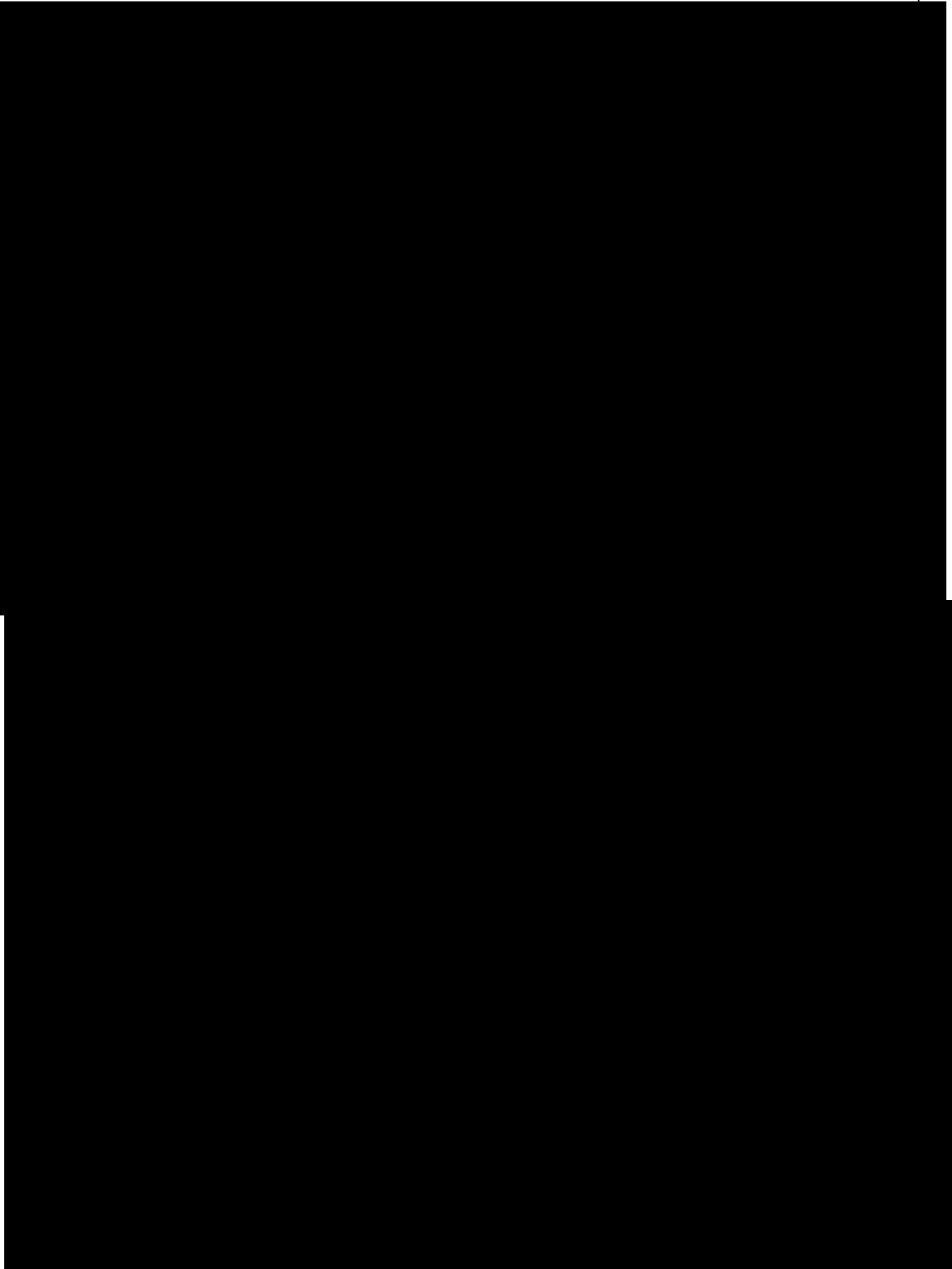
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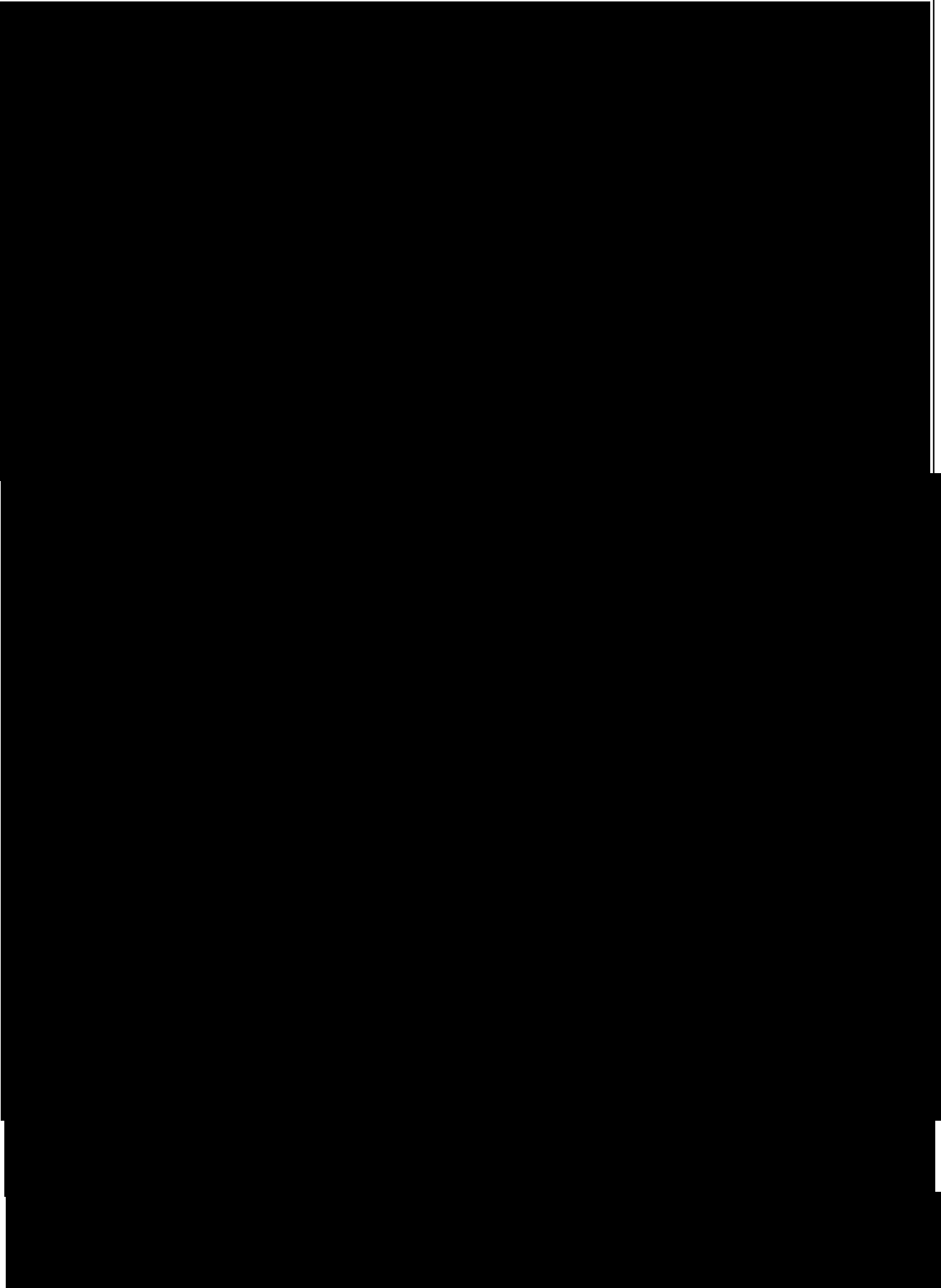
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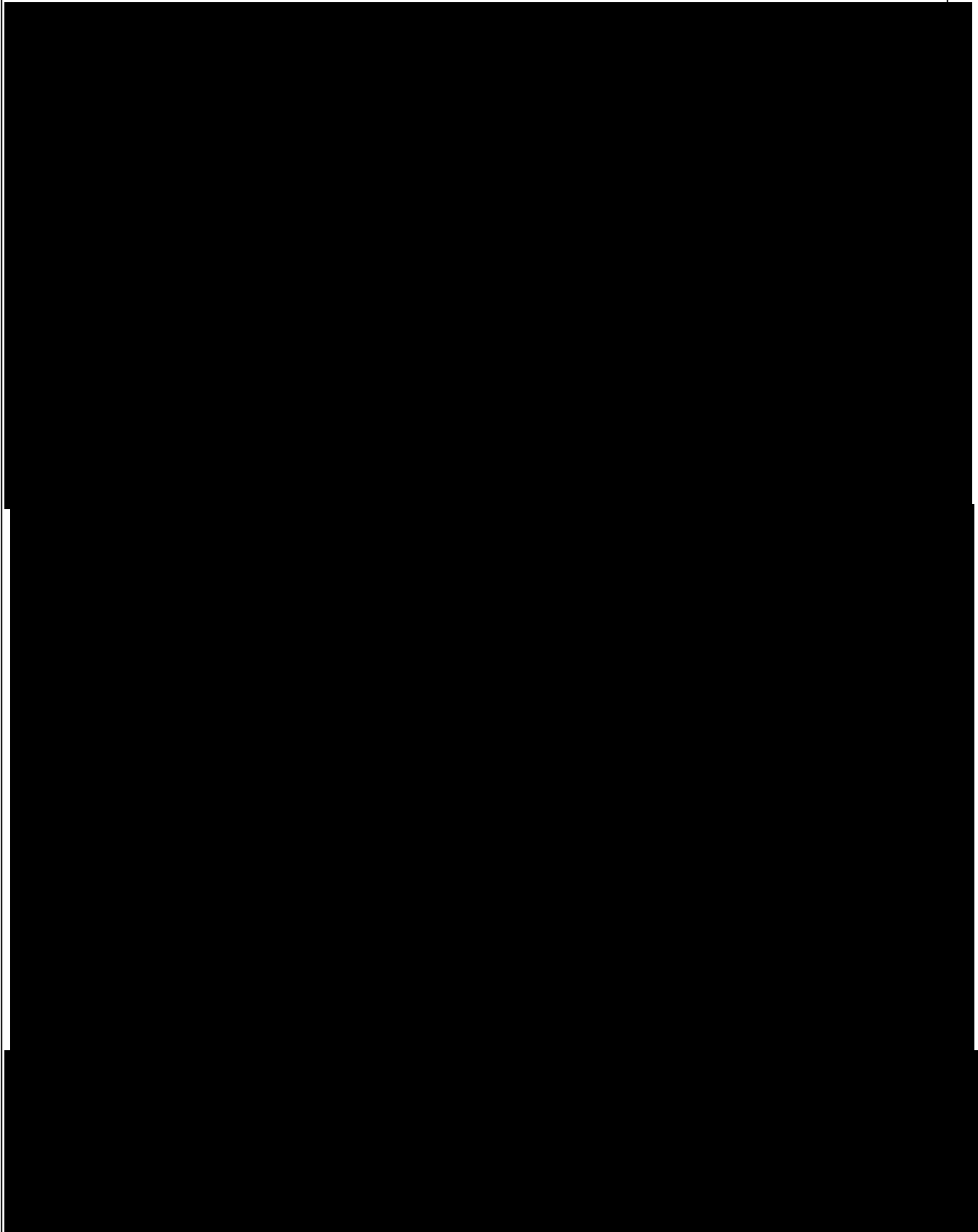
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facility) and 1999 (for other sites) to present are available on Seagate's website at <https://www.seagate.com/global-citizenship/iso-9001-certification/>. (Paneno Decl., ¶ 4.)

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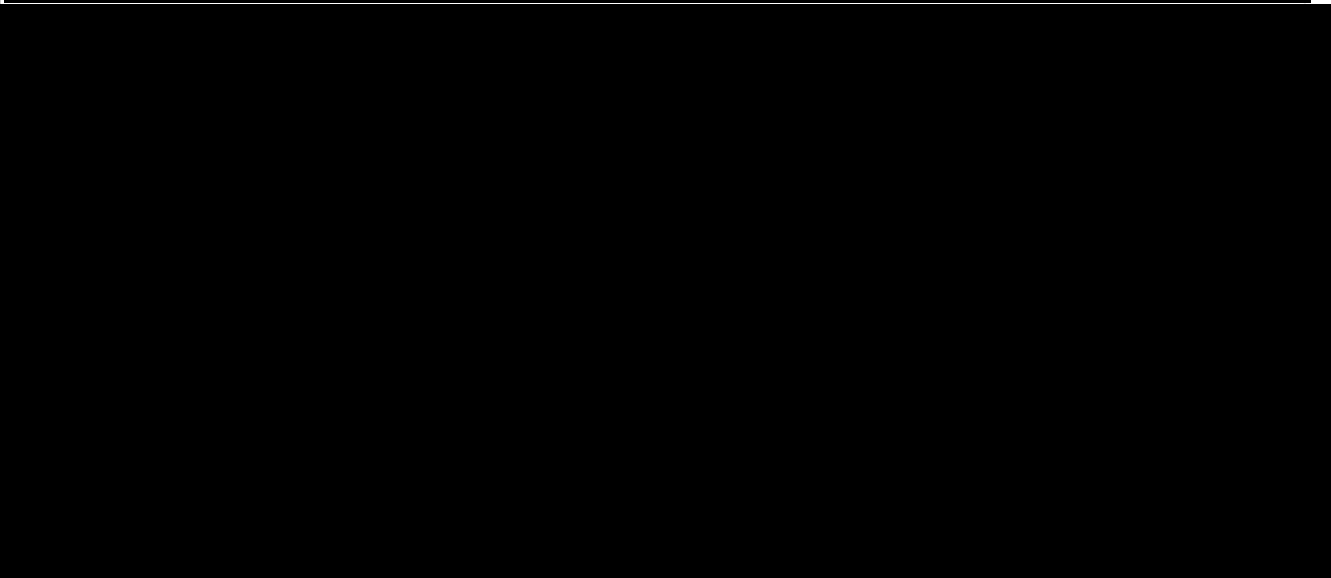
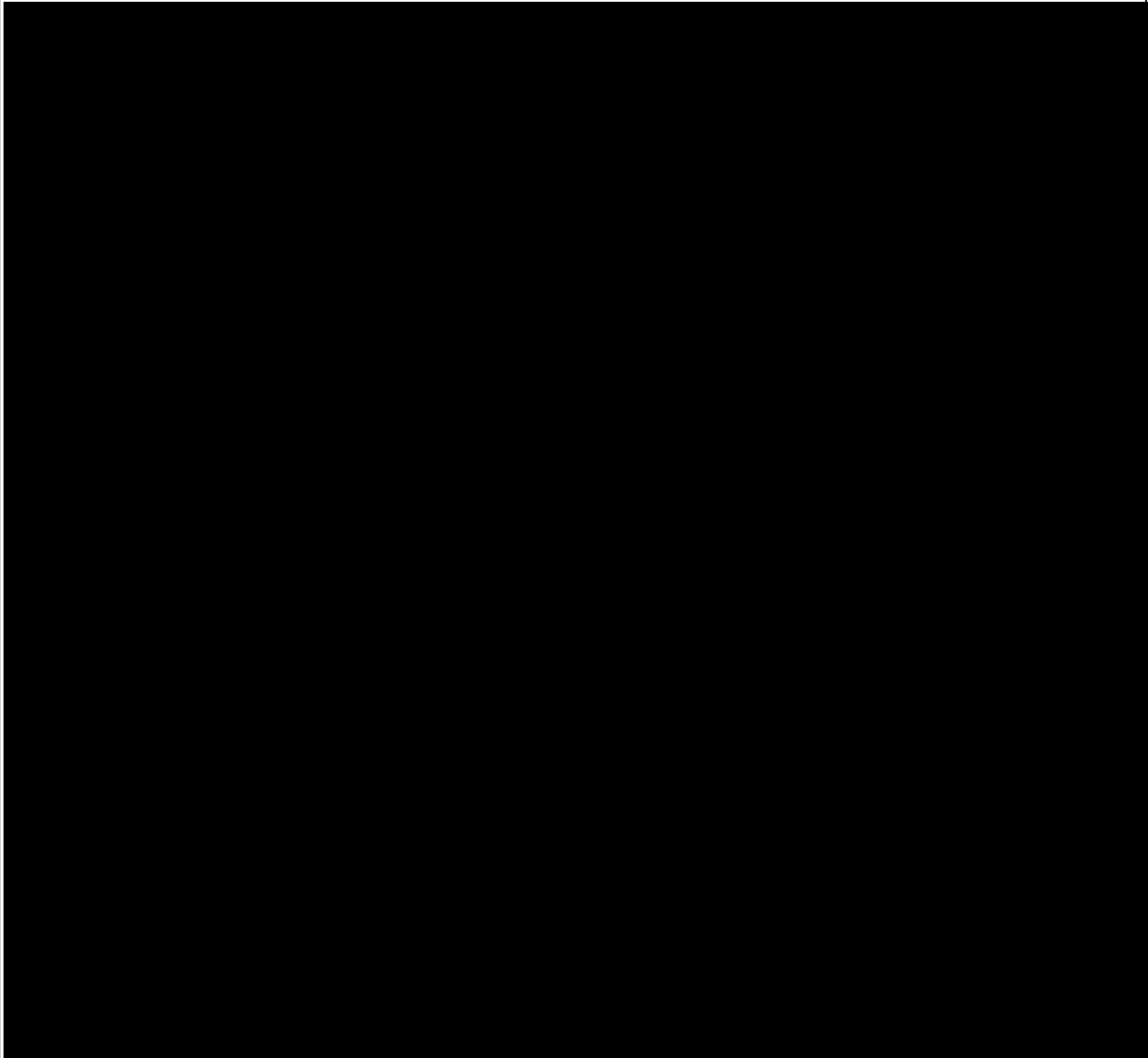
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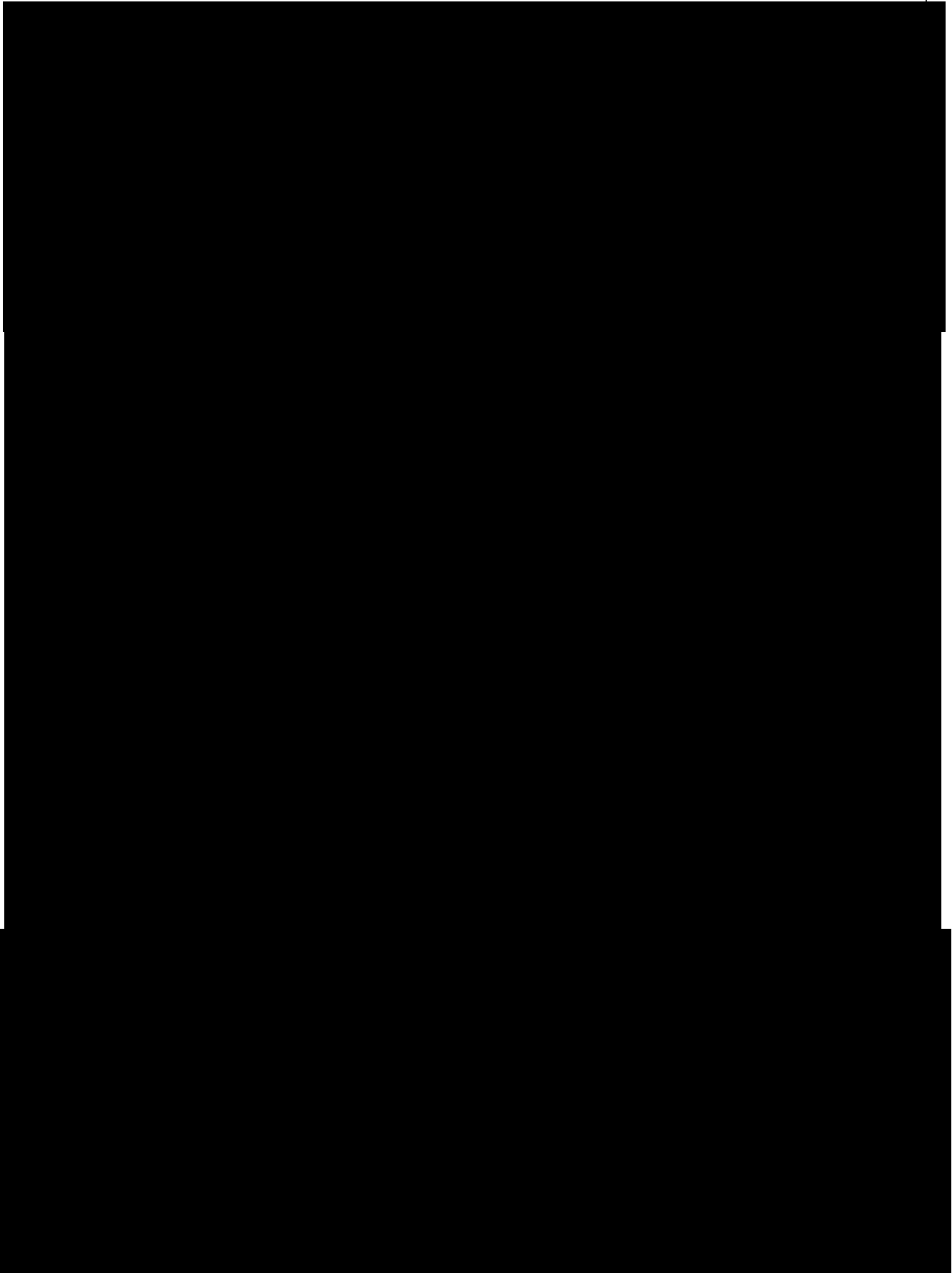
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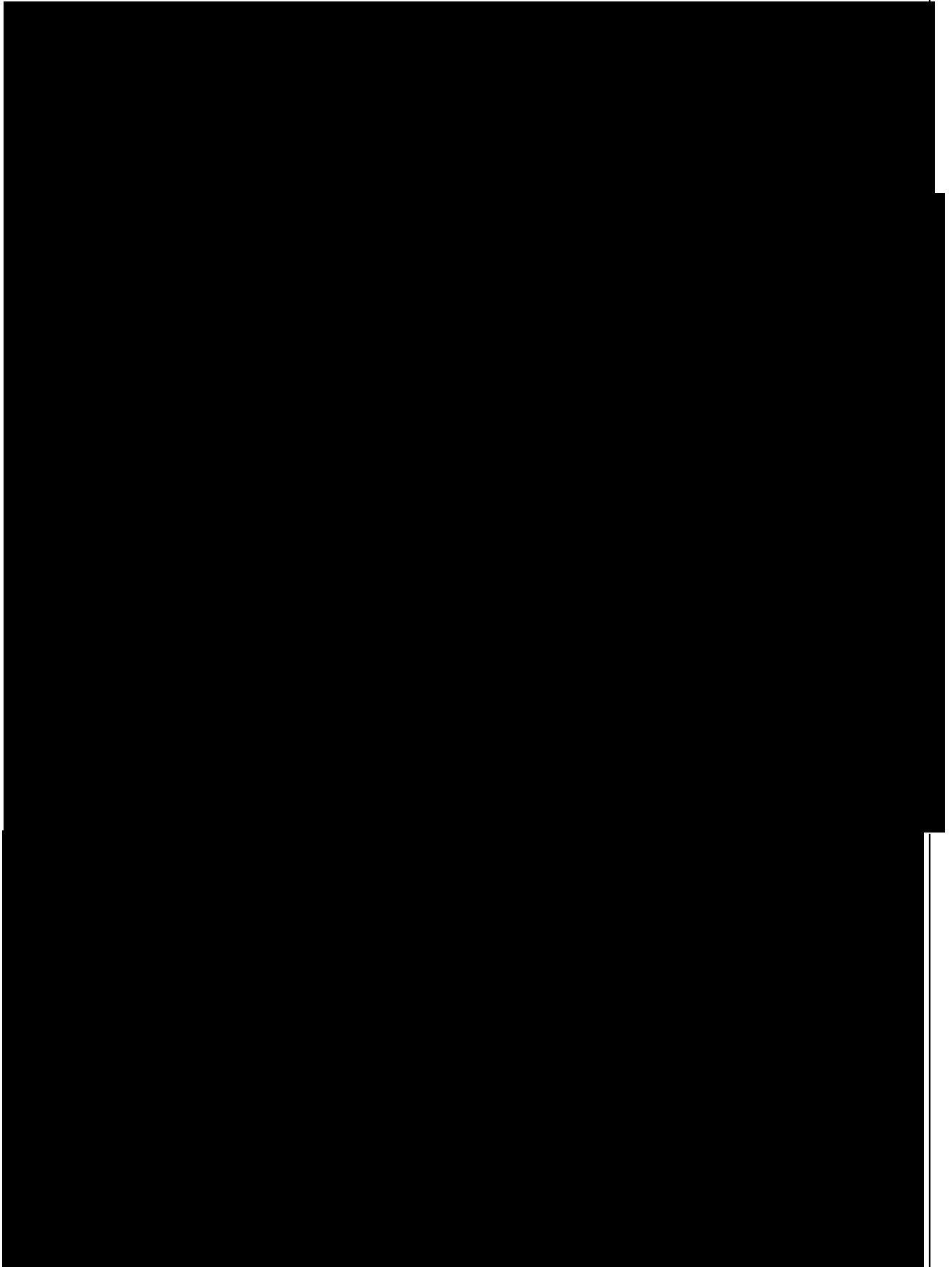
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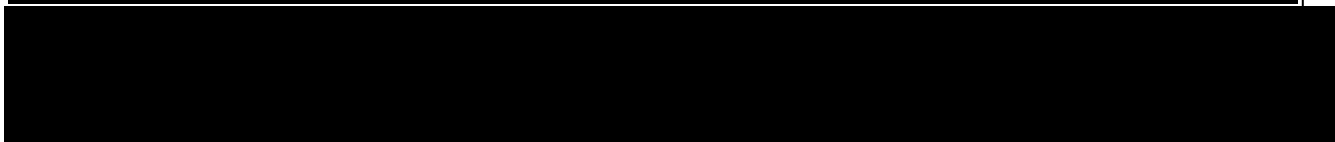
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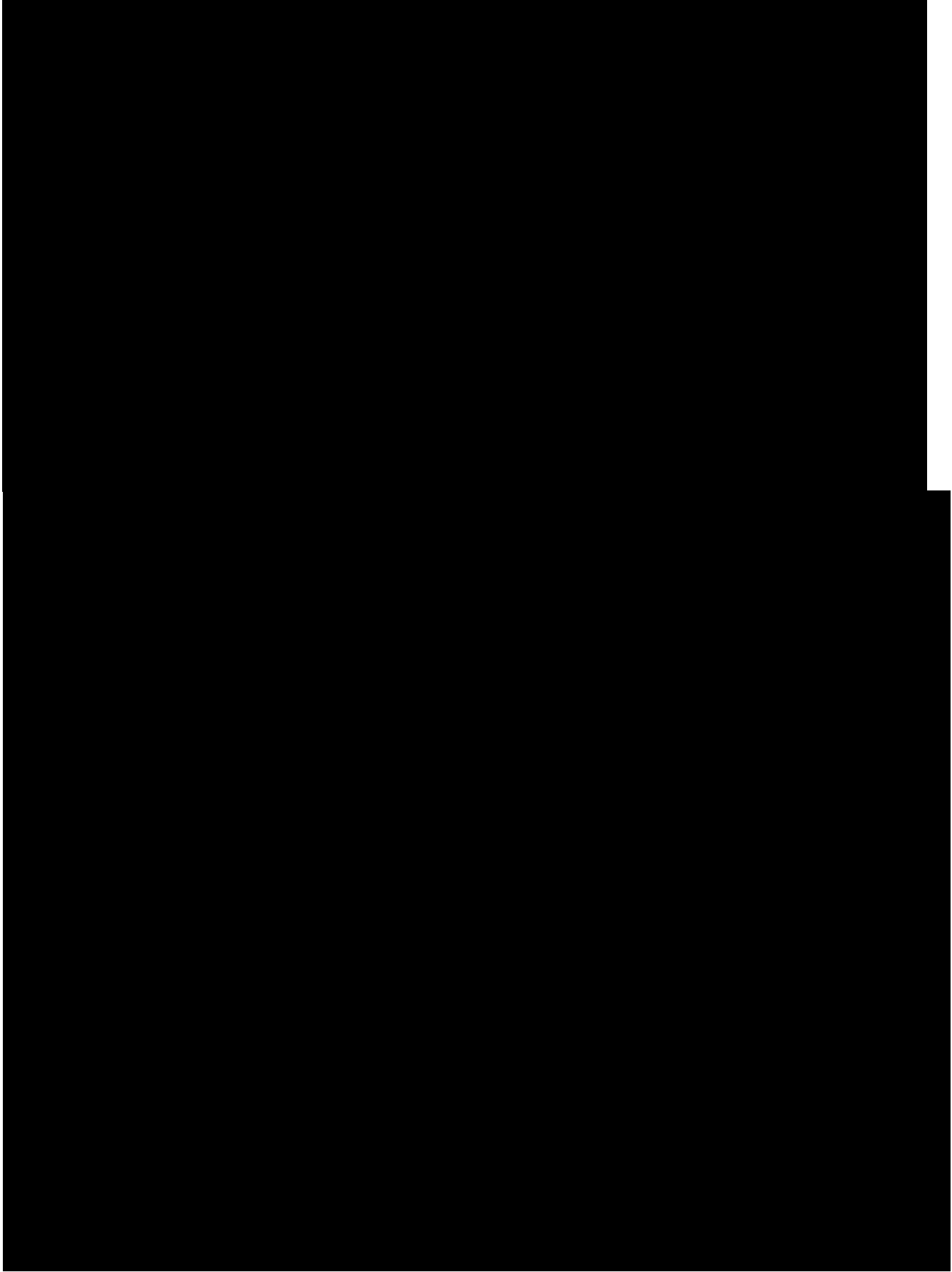
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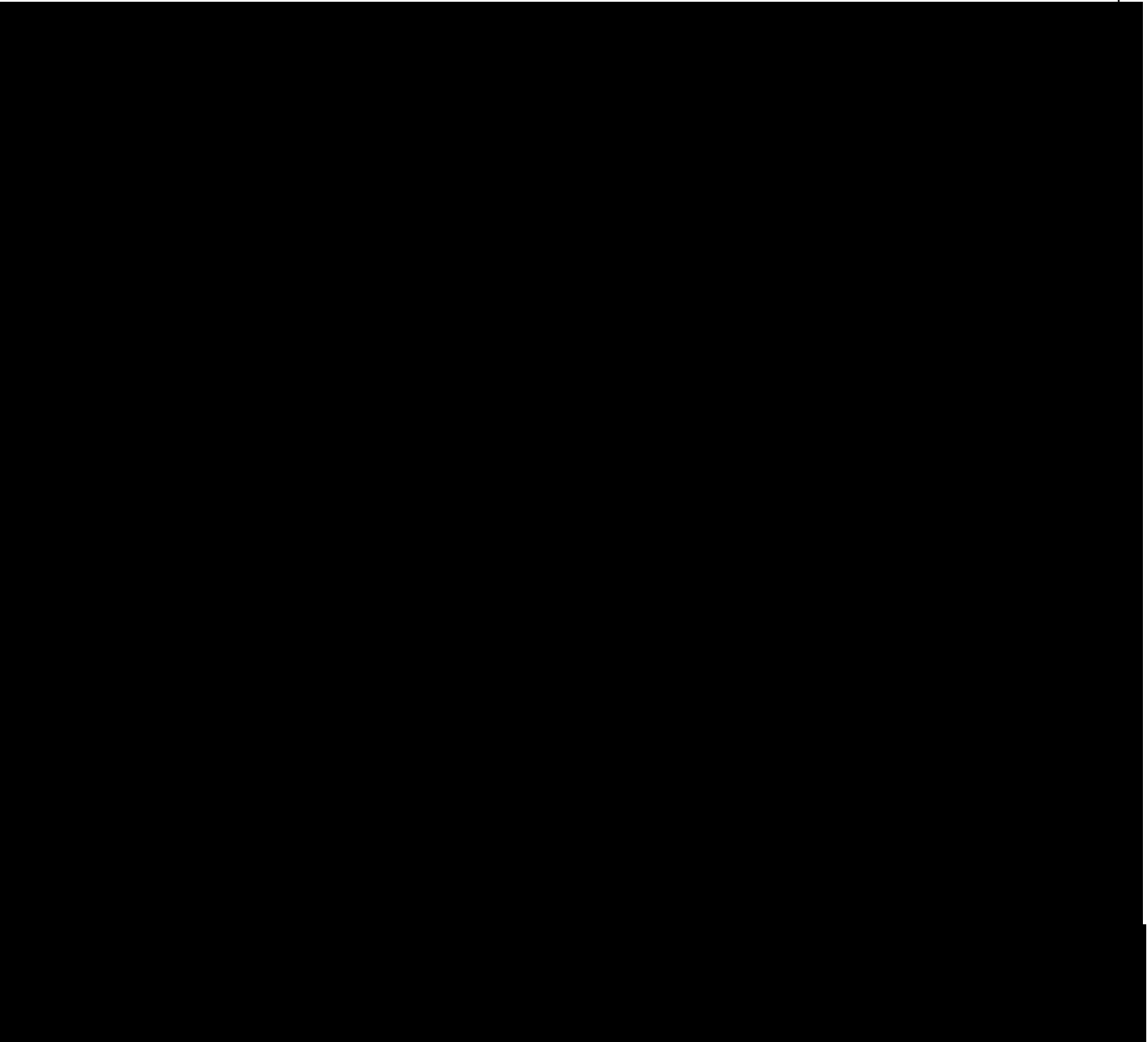
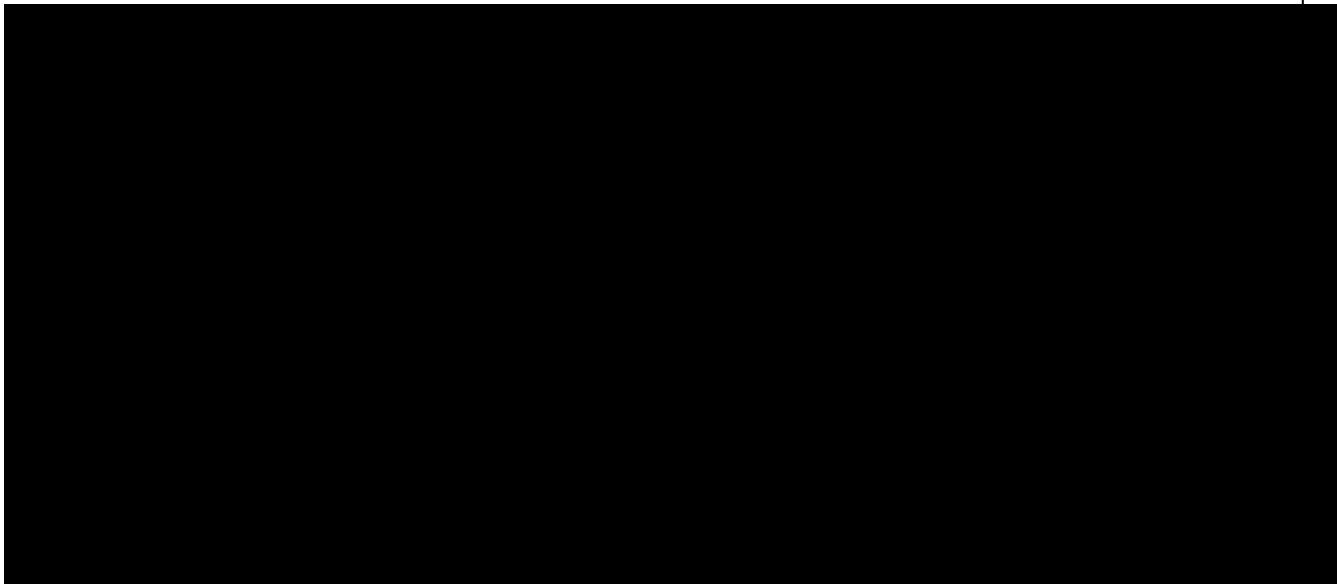
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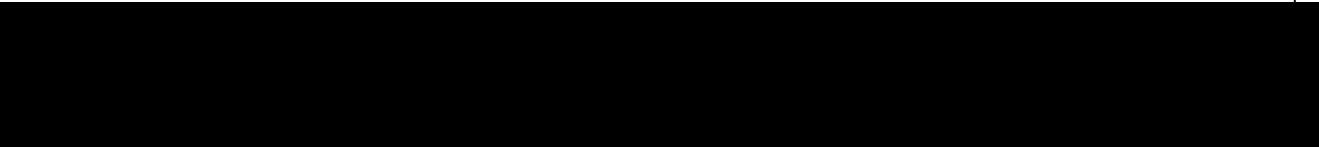
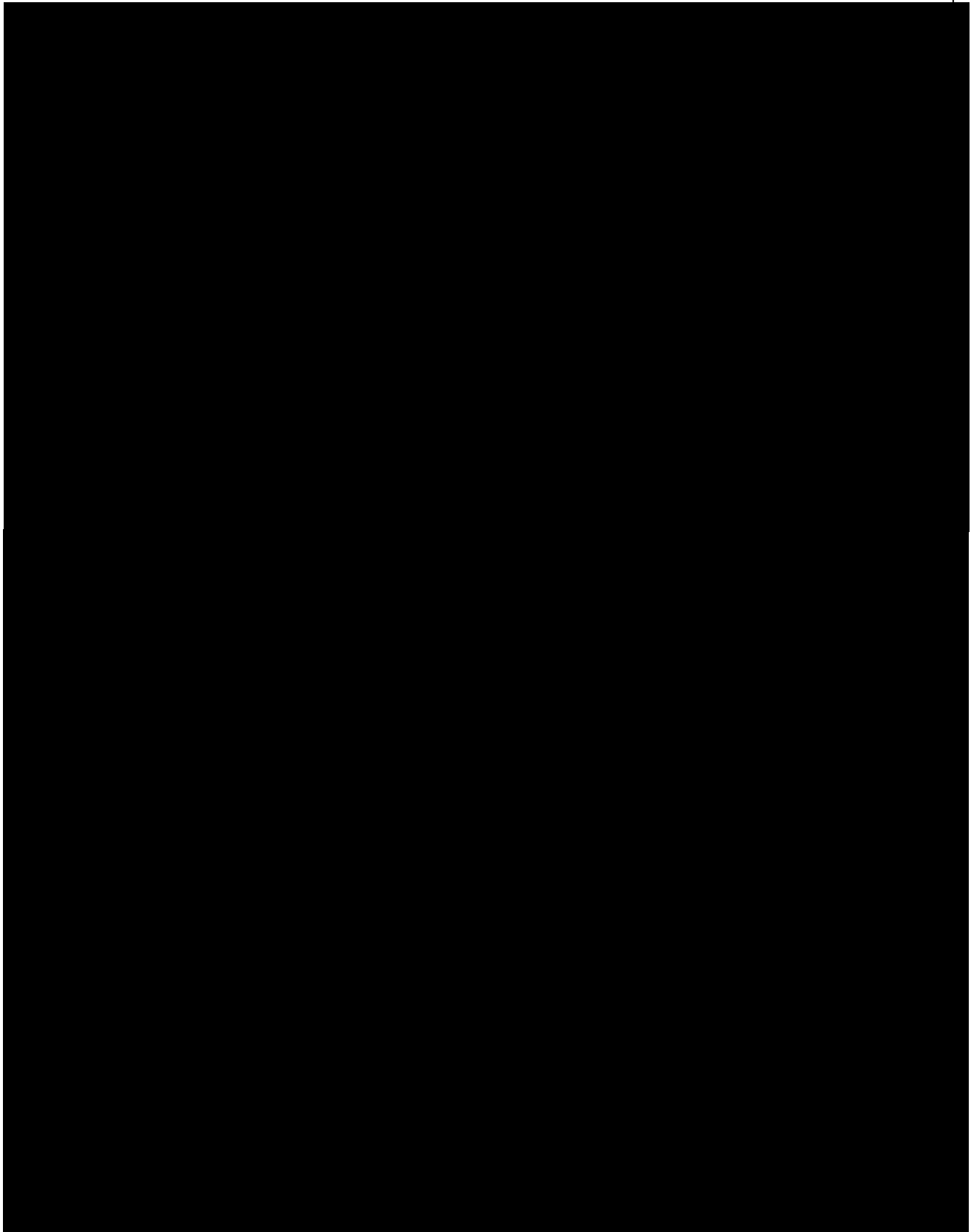
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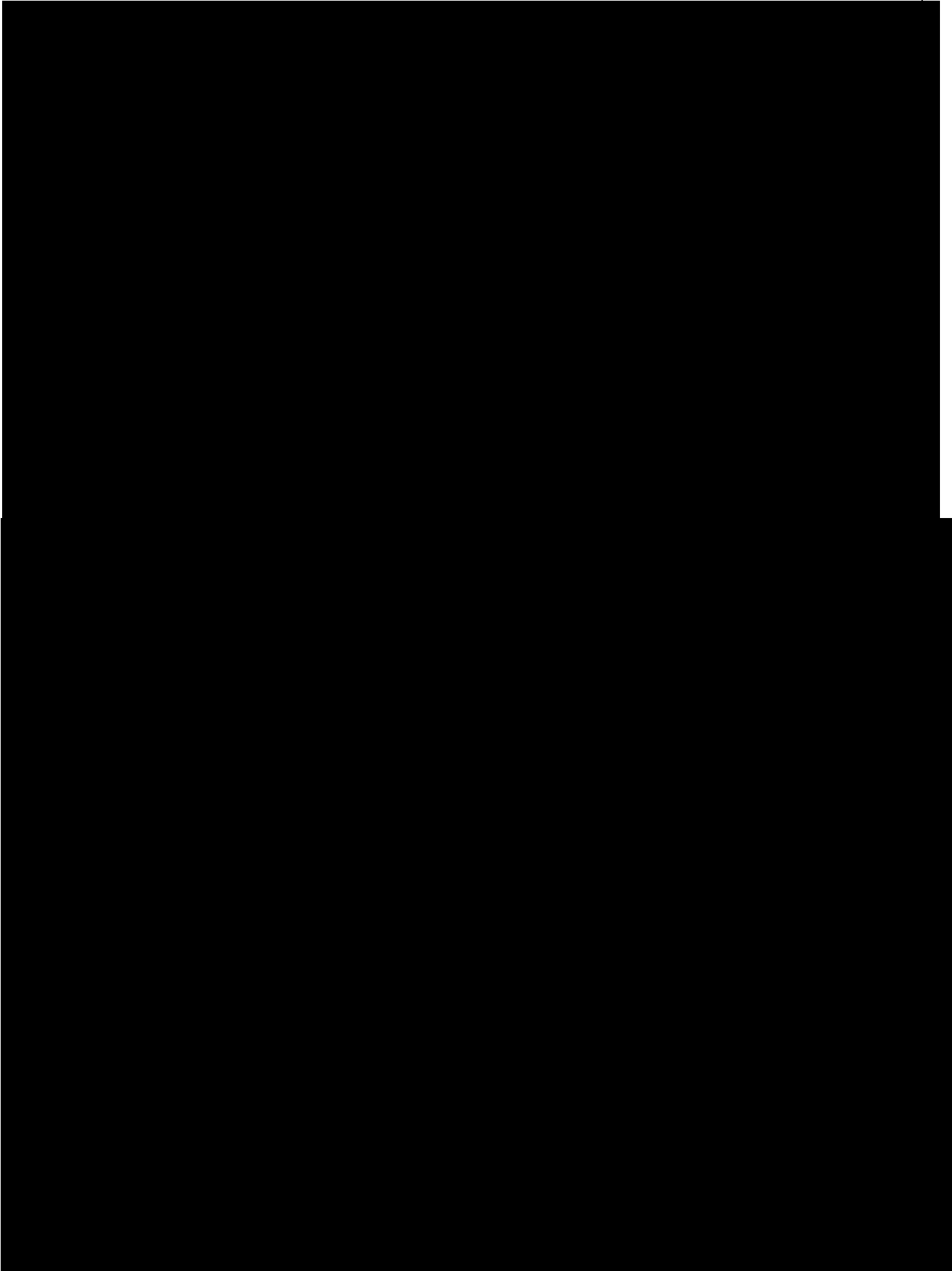
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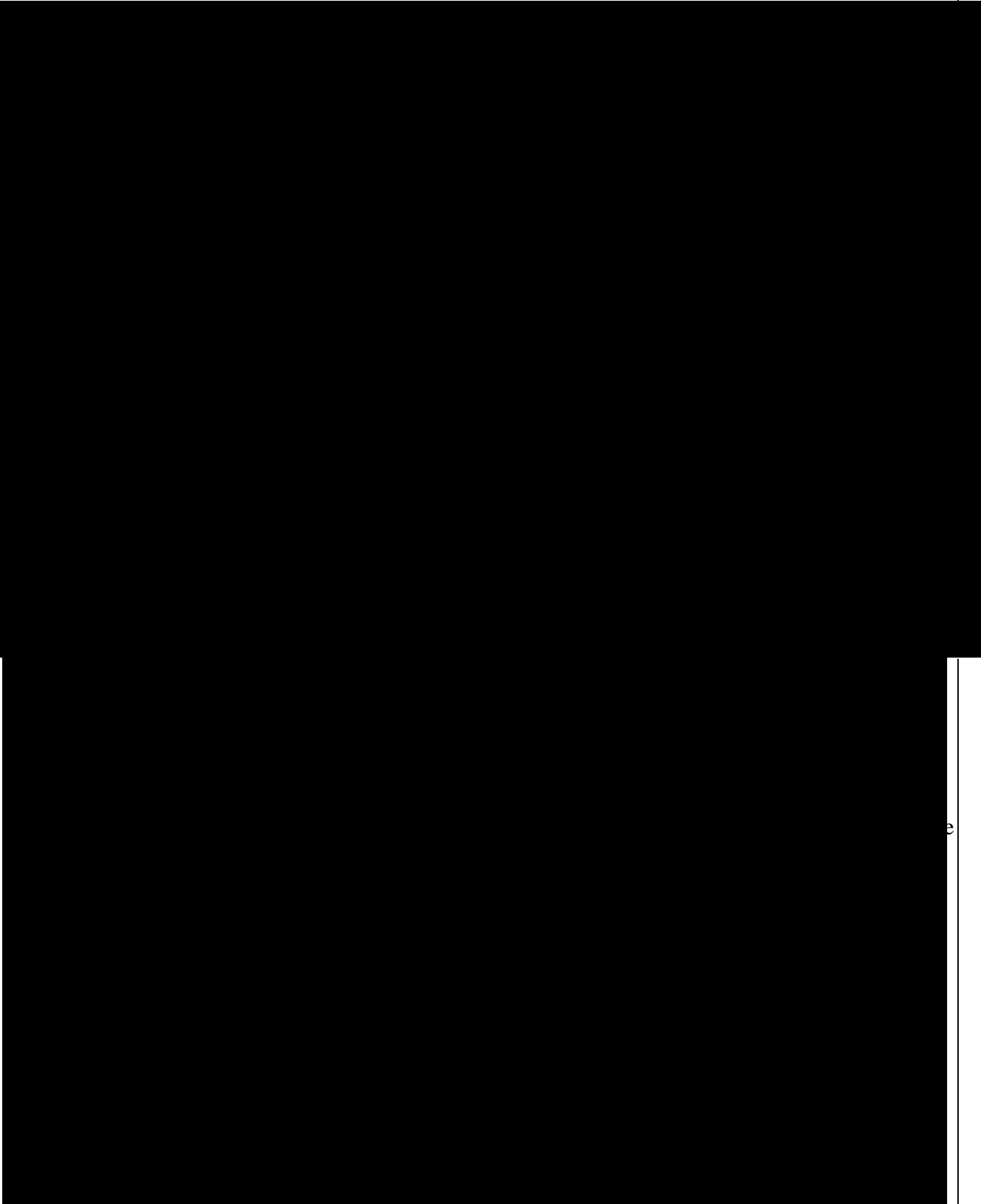
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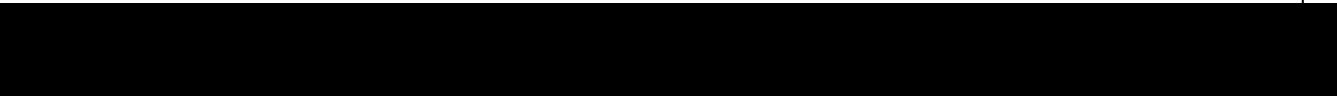
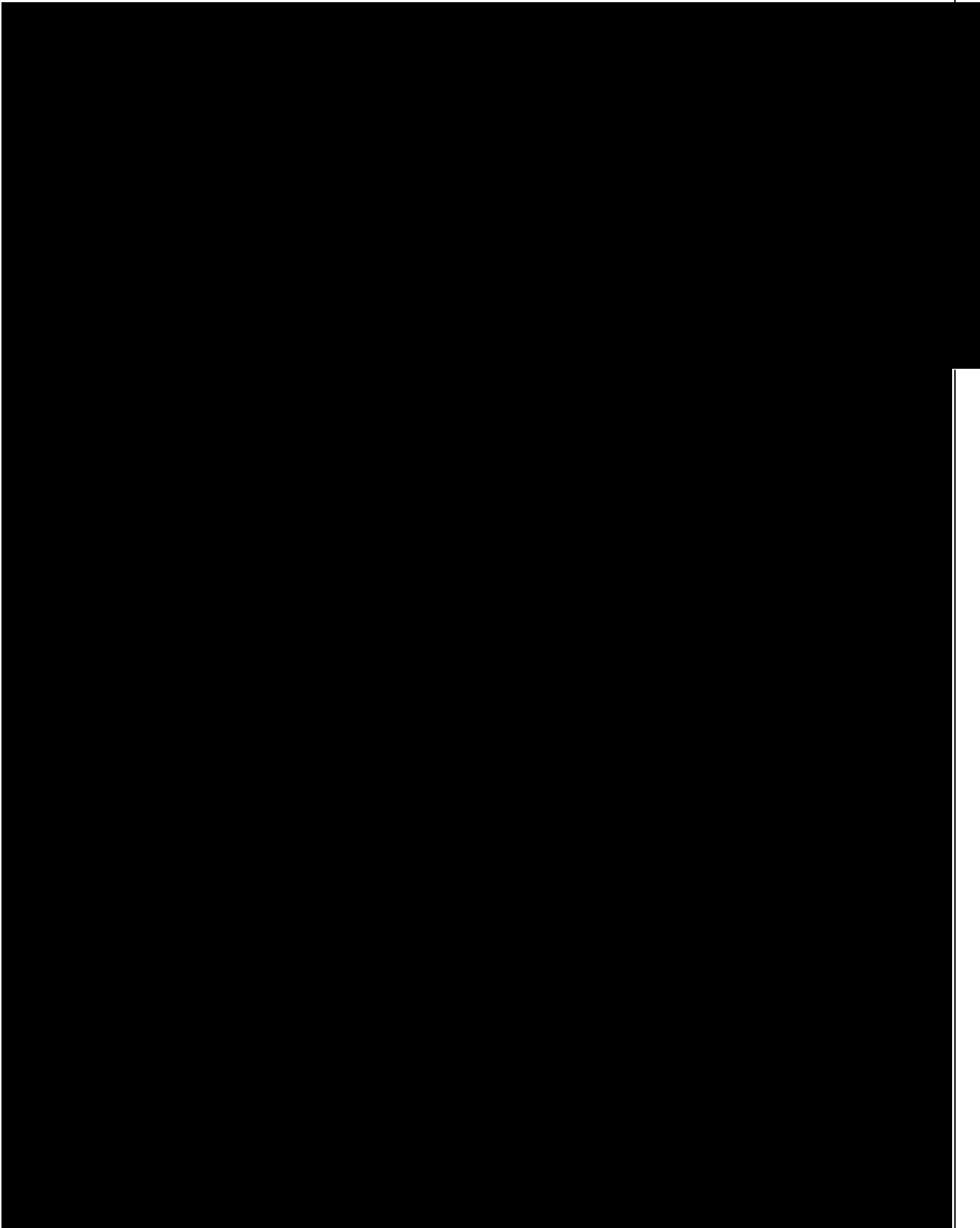


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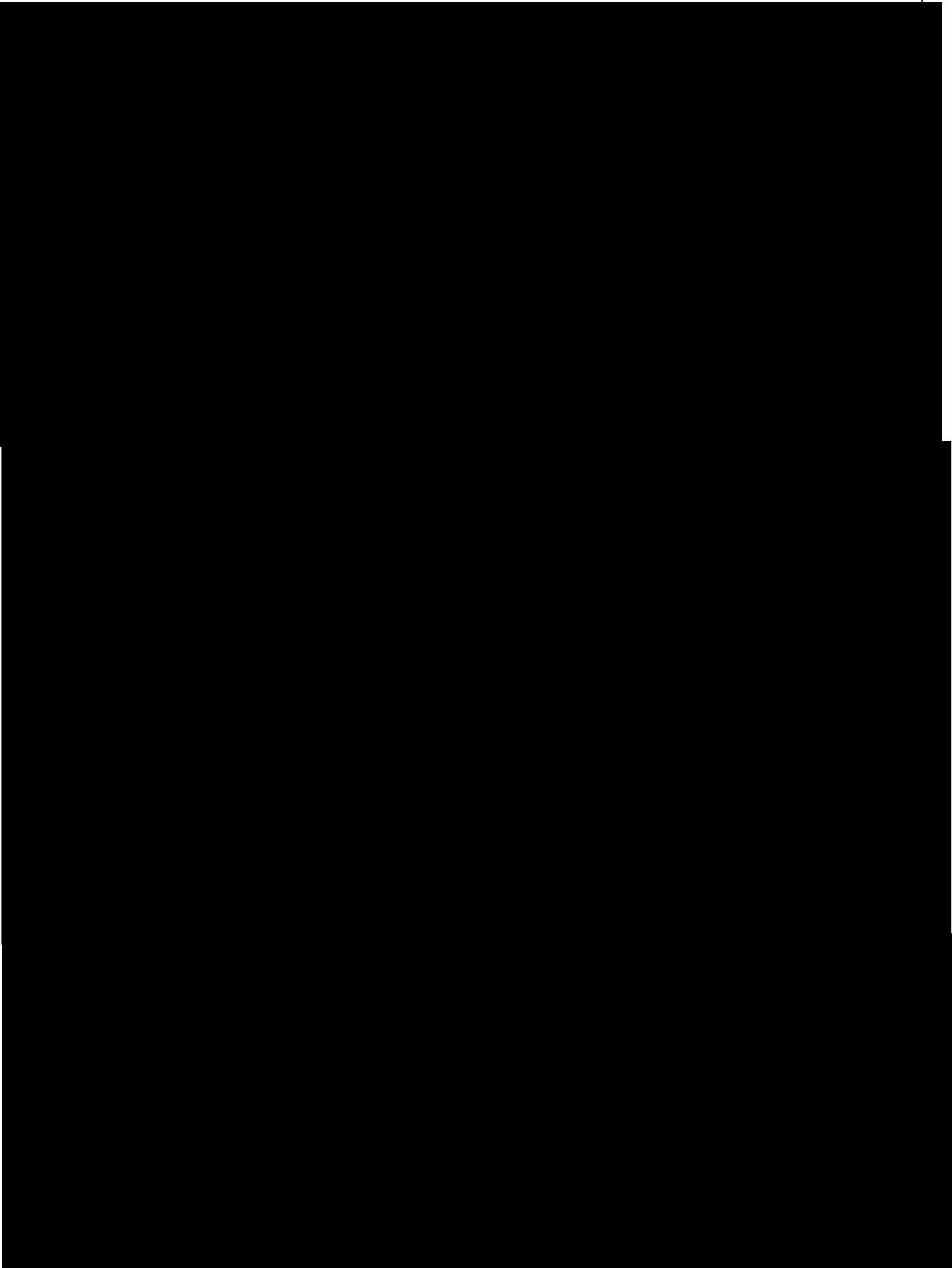
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<sup>33</sup> See <http://advances.sciencemag.org/content/3/8/e1603322.full> (wet bulb temperature “of around 35°C for even a few hours will result in death even for the fittest of humans under shaded,

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Singapore is the worst. Houston, Texas is hardly representative of conditions elsewhere in the US. See also <https://www.nytimes.com/2015/06/07/opinion/sunday/the-deadly-combination-of-heat-and-humidity.html> (“we found that over the period from 1981 to 2010, the average American experienced about *four* dangerously humid days, with wet-bulb temperatures exceeding *80*

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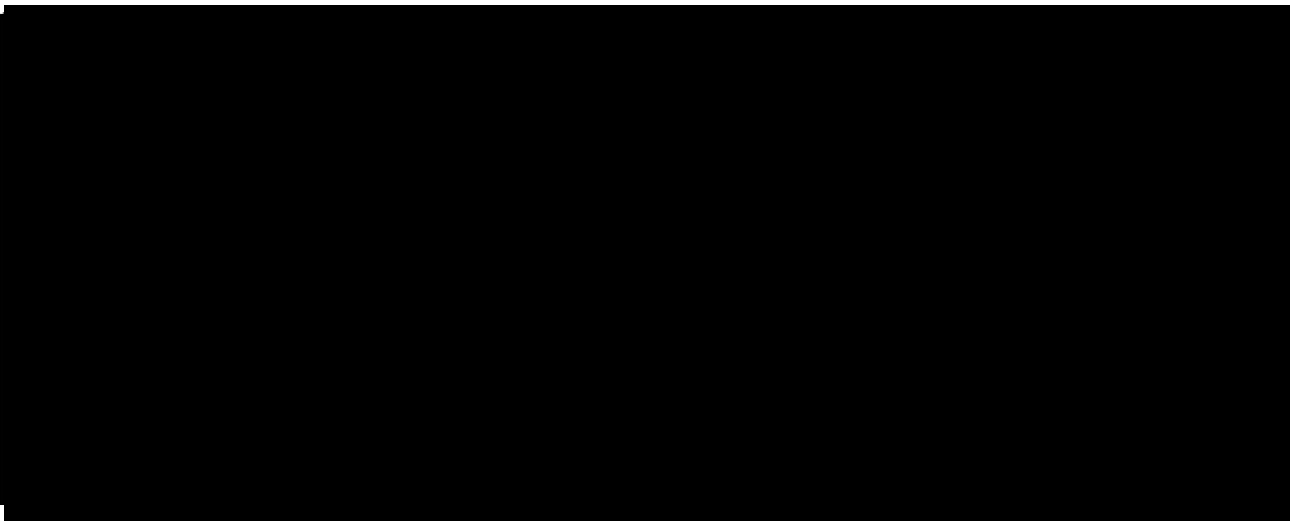
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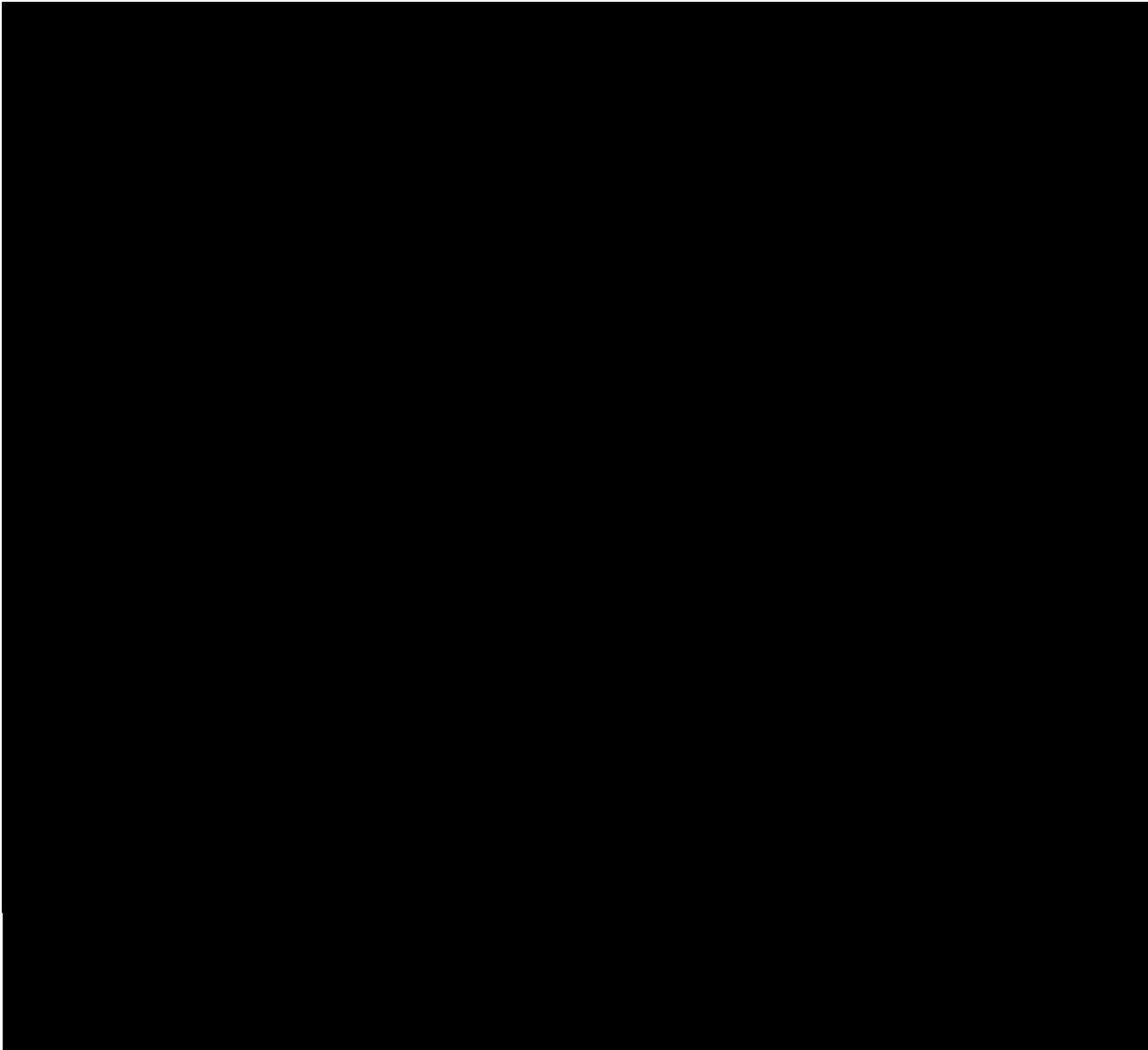
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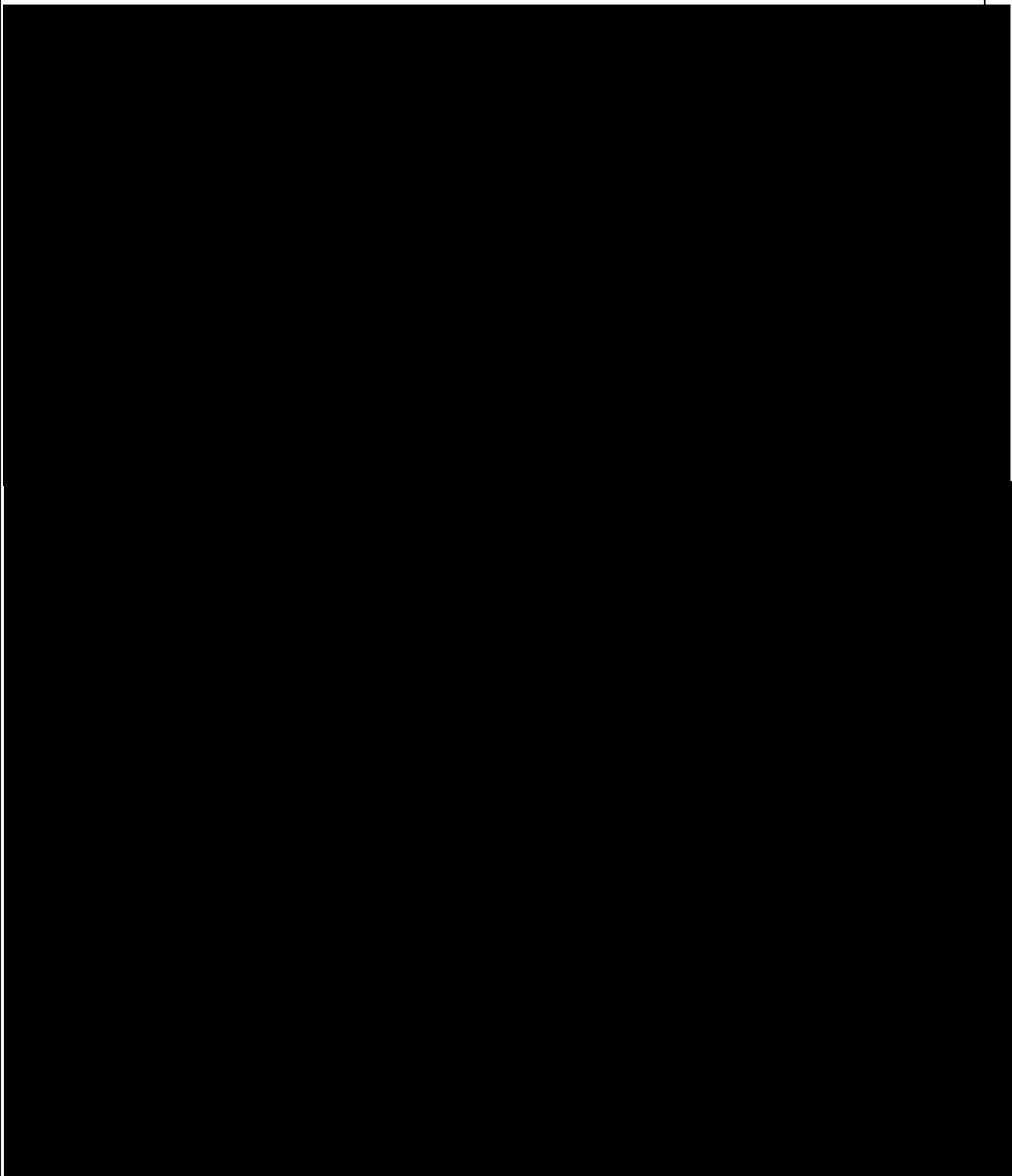
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**Figure 6** (Ex. 1 [FED\_SEAG0026697] at p. 26704.)



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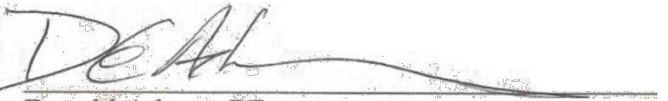
25 **X. Supplementation of Opinions**

26       120. The opinions expressed herein are my own, based on my current understanding of the  
27 facts and circumstances surrounding this matter and my review of the information listed in  
28 Appendix 2. I understand that discovery is continuing and I reserve the right to supplement this

1 declaration or revise my opinions in light of additional information or documents that may be  
2 brought to my attention. I will consider any criticisms of my opinions or bases for my opinions  
3 brought to my attention or offered by experts retained by Plaintiffs, which may cause me to revise or  
4 supplement my opinions.

5 I declare under penalty of perjury under the laws of the State of California that the foregoing  
6 is true and correct.

7 Executed on this 5<sup>th</sup> day of January, 2018, at Pleasanton, California.

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11 Donald Adams, PE  
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# APPENDIX 1

## Consultant Curriculum Vitae

**Donald E. Adams, PE**

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### Expertise

- Embedded Systems Design and Development
  - Hard Disk Drives
  - Data Storage Systems
  - Analog, RF and Digital Circuit Design/Analysis
  - E&M Fields and EMC problems
  - Probability, Statistical Analysis and DOE
  - Data Communication Systems
  - Magnetic Recording Systems
  - Control Systems and Motor Controls
  - Project Management
  - Phase Locked loops & Delay Locked Loops
  - ADC/DAC and Digital/Firmware Controls
  - Power Converters, Controls and management
  - Modem Sensors and MEMS Sensors
  - AC/DC Magnetic Motors and Electrostatic MEMS Motors
  - Analog and Digital Video
  - Programming: Python, C, Basic, Assembly, Fortran, Matlab, SPICE, Excel
- 

### Professional Summary

#### Employment History

From: 2009      **Adams & Associates Consulting**  
To: Present      Pleasanton, CA  
Position: *Independent Consulting Engineer*  
Technical and business development services specializing in electronic systems for data storage, MEMS, consumer products and electric power/energy. Subject matter expert and witness for patents and cases involving electrical/electronic engineering.

From: 2011      **Western Digital**  
To: 2015      Irvine, CA  
Position: *Sr. Principal Engineer*  
Electronic architectures and system requirements specifications for power management in HDD and Flash storage systems. Advanced electronic system architecture development. SI, PI and EMC consulting. Special projects management. New graduate engineer training and mentoring.

## Consultant Curriculum Vitae

From: 2004 **NanoChip**  
To: 2009 Fremont, CA  
Position: *Vice President Engineering*  
Managed all engineering work and a Joint Development Program with Intel.

- Completed research and built an engineering team for the development of a probe storage memory device.
  - The technology is based on atomic force probes with ferroelectric media built with MEMS structures and processes in a system similar to a disk drive or HDD.
- This team made several significant technology and architectural breakthroughs which resulted in more than 75 patent applications.
- Technical feasibility was demonstrated by early 2008 and the team was moving into full product development when funding ran out at the end of 2008.

From: 2001 **Maxtor Corporation**  
To: 2004 Milpitas, CA  
Position: *Senior Engineering Director & Principal Engineer*  
Managed technology transfers and pre-development projects in the Advanced Technology Group.

- Finished Printed-Media-Self-Servo-Write transfer work started at Quantum after the merger with Maxtor. A derivative was implemented for all Maxtor product lines.
- Led the pre-development team for a 2.5 inch mobile computing HDD platform.
  - As an outgrowth of the mobile computing work I became the power management leader for all new products.

From: 1996 **Quantum Corporation**  
To: 2001 Milpitas, CA  
Position: *1999-2001: Senior Engineering Director*  
Co-founded the Consumer Electronics Business Unit as Chief Engineer. The group was chartered to find new non-PC applications and business opportunities.

- Led investments and co-development with TIVO, Replay, Panasonic and other brand name consumer electronics companies that created Personal Video Recorders and Digital Audio Jukeboxes.
  - Investments returned more than \$30M in the first 18 months.
- Developed core technology capabilities for digital video and audio data stream management. 1394AV technology and products were also developed and demonstrated.

## Consultant Curriculum Vitae

- Ten patent applications came out of the group and several have been issued. Most of the technology has since been incorporated in all HDD product lines. (Silent seeks, embedded file systems, capacity and content security)
- Moved to the Advanced Technology Labs to lead the integration of Printed-Media-Self-Servo-Write technology, a critical new manufacturing technology, into multiple products across the entire business.
  - This technology reduced the incremental capital needed to produce HDDs by more than \$50M per year.

### *1996-1999: Engineering Director*

Director for two development teams comprising more than 100 engineers and extended teams from manufacturing, process engineering, test engineering, materials, and marketing. Worked directly with MKE, Quantum's manufacturing partner in Japan. Annual budget >\$16M.

- Delivered four high volume 5.25" HDD products. Production yields were over 90%. Volume was ~1 Mu/quarter for each and generated over 15% gross margins.
- Concurrently advised two additional cross functional teams that developed two more high volume 3.5" HDD products.
- Served as HDD architect in the product and technology planning process for 1 year.
- Initiated and led several technical task teams that tackled critical multi-functional problems for the business division. (FIT, SMART, Sing-no-spin, Adapt' RO-Correction)

From: 1993 **SyQuest Technology**  
 To: 1996 Fremont, CA  
 Position: *Engineering Vice President*

From: 1990 **Iota Memories**  
 To: 1993 Santa Clara, CA  
 Position: *Vice President Engineering & Co-Founder*  
 Private start-up developing data storage products acquired by SyQuest.

From: 1986 **Maxtor**  
 To: 1990 San Jose, CA  
 Position: *Program Manager & Read-Write Engineer*

From: 1983 **Tulin**  
 To: 1986 San Jose, CA  
 Position: *Engineering Director & Read-Write Engineer*

## Consultant Curriculum Vitae

From: 1981      **Ampex**  
 To: 1983      Redwood City, CA  
 Position: *Senior Staff Engineer, Read-Write*

From: 1978      **Memorex**  
 To: 1981      Santa Clara, CA  
 Position: *Senior Electronic Engineer, Read-Write Channels*

From: 1973      **Amdahl**  
 To: 1978      Sunnyvale, CA  
 Position: *Test Equipment Development Manager, Senior Test & Associate Engineer*

### Consulting History

From: 10/17      **Sentient Energy**  
 To: present      Burlingame, CA  
 Duties: Review of IEEE 495 testing for Fault Circuit Indicator product.

From: 3/12      **Intel**  
 To: 9/12      Santa Clara, CA  
 Duties: System architecture development and design reviews.

From: 4/10      **Samsung, SISA**  
 To: 9/11      San Jose, CA  
 Duties: Advisory engineer for HDD technology and magnetic recording. Signal integrity evaluation of high speed DDR2 buss and recommendations to improve products and the development process.

From: 3/11      **Superstar Productions**  
 To: 6/12      Miramar, FL  
 Duties: Hardware and firmware development using IRdA and a 16 bit microcontroller for a consumer electronics product.

From: 2/11      **Test Equipment Plus**  
 To: 12/11      La Center, WA  
 Duties: Development of MEMS based thermocouple RF and Microwave power sensor.

From: 3/10      **Voxis for Topcon**  
 To: 12/10      Richmond and Livermore, CA  
 Duties: Developed prototype hardware and MatLab routines for a new machine vision feature to be used on Total Stations/Scanner tools for civil engineers and surveyors. Prototype was successfully demonstrated and field tested.

## Consultant Curriculum Vitae

From: Summer **Private Investor**  
09

Duties: Evaluation and development of a prototype tracking solar thermal electric power converter based on a concept using the Seebeck effect.

### **Patents**

<u>Patent Number</u>	<u>Issue Date</u>	<u>Title</u>
9,422,668	9/13/2016	Adaptive Power Management Control with Performance Feedback
9,280,200	3/8/2016	Automatic Peak Current Throttle of Tiered Storage Elements
8,264,941	9/11/12	Arrangement and Method to Perform Scanning Readout of Ferroelectric Bit Charges
7,796,493	9/14/10	Cantilever on Cantilever (MEMS) Structure
7,738,350	6/15/10	Probe Storage with Doped Diamond-like Carbon Medium and Current Limiter
7,310,196	12/18/07	Parking a Transducer Responsive to a Park Signal
7,280,301	10/9/07	Temperature Estimator for Electronic Device
7,196,862	3/27/07	Coherent Phase Data Segment Layout in Data Storage Device
6,487,646	11/26/02	Apparatus and Method Capable of Restricting Access to Data Storage Device
6,195,732	2/27/01	Storage Device Capacity Management

### **Education**

<u>Year</u>	<u>College/University</u>	<u>Degree</u>
1983	Santa Clara University, Santa Clara, CA	MS, Electrical Engineering
1976	San Jose State University, San Jose, CA	BS, Electrical Engineering (with Distinction)

### **Publications**

1. B. Kim, D. Adams, Q. Tran, Q. Ma, V. Rao, "Scanning probe charge reading of ferroelectric domains," Appl. Phys. Lett., v. 94(6), 063105, 2009.
2. B. Kim, D. Adams, G. Tchelepi, Q. Tran, Q. Ma and V. Rao, "Scanning Probe Charge Reading of Ferroelectric Polarization with Nanoscale Resolution," 2009 NSTI Nanotechnology Conference and Expo, May 3-7, Houston, TX, (2009)
3. D. Adams, N. Belov, T-K. Chou, J. Heck, B. Kim, G. Knight, Q. Ma, V. Rao, G. Tchelepi, "Nanochip: A MEMS-based Ultra-High Data Density Memory Device," 2009 NSTI Nanotechnology Conference and Expo, May 3-7, Houston, TX, (2009).
4. N. Belov et al., "Thin-layer Au-Sn solder bonding process for wafer-level packaging, electrical interconnections and MEMS applications," Int. Interconnect Technology Conf., Sapporo, June 2009.

## Consultant Curriculum Vitae

5. S. Severi et al., “CMOS compatible poly-SiGe cantilevers with read/write system for probe storage device,” Transducers 2009, Denver, June 2009.
6. N. Belov, D. Adams, D. Ascanio, T-K. Chou, J. Heck, B. Kim, G. Knight, Q. Ma, V. Rao, J.-S. Park, R. Stark, G. Tchelepi “Nanochip: A MEMS-based Ultra-High Data Density Memory Device,” Advanced Technology Workshop “Advanced Materials and Technologies for Micro/Nano Devices, Sensors and Actuators, St.-Petersburg, June 2009.
7. D. Adams, N. Belov, T-K. Chou, J. Heck, B. Kim, G. Knight, Q. Ma, V. Rao, G. Tchelepi, “Nanochip: A MEMS-based Ultra-High Data Density Memory Device” – *future publication in “Sensors and Transducers.”*

### **Professional Associations and Achievements**

- Member, IEEE
  - Eta Kappa Nu, Electrical Engineering Honors
  - Registered Professional Engineer in Calif. # E19198
- 

### **Adams & Associates**

Pleasanton, CA

925-960-3295

donaldadams@sbcglobal.net

# APPENDIX 2

## **Documents Considered**

### **Pleadings and Deposition Transcripts**

July 26, 2017 30(b)(6) Deposition of Glen Almgren.  
September 7, 2017 Personal and 30(b)(6) Deposition of Patrick Dewey.  
September 8, 2017 Deposition of Andrei Khurshudov.  
December 15, 2017 Deposition of Andrew Hospodor  
June 30, 2017 Declaration of Alan Ng (Case No. CGC-15-547787)  
June 30, 2017 Declaration of Dave Rollings (Case No. CGC-15-547787)  
January 5, 2018 Declaration of Mary Paneno (Case No. 3:16-cv-00523-JCS)  
January 5, 2018 Declaration of Patrick Dewey (Case No. 3:16-cv-00523-JCS)  
January 5, 2018 Declaration of Glen Almgren (Case No. 3:16-cv-00523-JCS)  
January 5, 2018 Declaration of Harrie Netel (Case No. 3:16-cv-00523-JCS)  
January 5, 2018 Declaration of Lien Payne (Case No. 3:16-cv-00523-JCS), and exhibits thereto  
January 5, 2018 Declaration of Jeff Fochtman (Case No. 3:16-cv-00523-JCS), and exhibits thereto  
January 5, 2018 Declaration of Karl Schweiss (Case No. 3:16-cv-00523-JCS), and exhibits thereto

### **Books and Websites**

*An Introduction to Applied Probability*, Ian F. Blake, 1979  
National Institute of Standards and Technology (“NIST”)/SEMATECH e-Handbook of Statistical Methods, <http://www.itl.nist.gov/div898/handbook> see also <http://www.itl.nist.gov/div898/handbook/apr/apr.htm>  
“Life Data Analysis Reference” produced by ReliaSoft Corporation in Tucson, Az., 5/22/2015 <http://www.ReliaSoft.com>  
<http://www.weibull.com/basics/parameters.htm>  
<http://www.seagate.com/global-citizenship/iso-9001-certification/>.  
Backblaze, *See What Can 49,056 Hard Drives Tell Us? Hard Drive Reliability Stats for Q3 2015*, (Oct. 14, 2015), <https://www.backblaze.com/blog/hard-drive-reliability-q3-2015>.  
Backblaze, *CSI: Backblaze – Dissecting 3TB Drive Failure* (April 15, 2015), <https://www.backblaze.com/blog/3tb-hard-drive-failure>.  
Backblaze, *How long do disk drives last?* (Nov. 12, 2013), <https://www.backblaze.com/blog/howlong-do-disk-drives-last/>.  
Backblaze, *What Hard Drive Should I Buy?* January 21st, 2014, <https://www.backblaze.com/blog/what-hard-drive-should-i-buy/>  
Backblaze, *180TB of Good Vibrations – Storage Pod 3.0*, February 20th, 2013, <https://www.backblaze.com/blog/180tb-of-good-vibrations-storage-pod-3-0/>  
[https://www.weather.gov/epz/wxcalc\\_rh](https://www.weather.gov/epz/wxcalc_rh)  
<https://www.nytimes.com/2015/06/07/opinion/sunday/the-deadly-combination-of-heat-and-humidity.html>  
<http://advances.sciencemag.org/content/3/8/e1603322.full>

**Produced Documents**

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